A Charter for Change

Final Report

Archivist's Task Force On Agency Transformation
October 2010

Letter to the Archivist

September 15, 2010

Dear Mr. Ferriero:

Over the last week we have read through the hundreds of comments staff made on the Draft Report we issued on the first of September. We were very impressed with the thoughtfulness that individuals put into these submissions. We have changed some of the content of the report based on the comments we received. But, even where we elected to retain our original recommendation, the comments helped to clarify our thinking. We also recognize that real change will not happen unless NARA employees at all levels continue to participate in and lend their knowledge and talents to the transformation process as it goes forward.

We submit this report with a good deal of humility. There are many ways to organize NARA and we are under no illusion that the plan we propose is perfect. We have tried to recommend an organizational model that would speed the day when the transformational outcomes we identified become reality, but we acknowledge that structure alone will not accomplish this end. So many comments began, "organization alone can't solve…" – we could not agree more. Real change will not be possible without a lot of hard work on values and business practices.
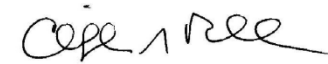
We also realize that much of the change we imagine cannot be captured on an organizational chart. Boxes connected by lines inevitably imply more hierarchy, while improved communications, relationships, and work processes may not be immediately apparent. To try and address this, we have added an alternative view of the proposed reorganization. This model helps make the point that we strongly believe decision making must be pushed closer to the customer. Still, the tendency may be to see the boxes as discrete realms, with a Chief Operating Officer somehow separating the Archivist from the program offices. We agree that if all decision making that spans departments had to flow through the COO, this plan would be a failure. That is not the intent of our proposal. We agree with the blog participant who spoke of the importance of "horizontal" communication and work flow. We have recommended interdependent units and departments for the very reason that we believe that NARA needs to come together not as representatives of sovereign factions but as teams of individuals sharing talent and expertise.

We submit this "final" report in the hope that it really isn't "final." And, because we must pick a direction and move forward with a sense of urgency, we deliver this report as our best ideas on achieving the six transformational outcomes that we identified at the outset.
Thank you for giving us this opportunity to serve and for holding us to an impossible deadline that provided focus to our thinking.

Yours truly,

Debra Steidel Wall, Chair

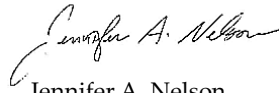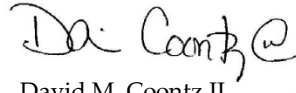Christopher M. Runkel

William J. Bosanko

Marvin Pinkert

Stephanie C. Foutz

Kathleen Dillon McClure

Jennifer A. Nelson

David M. Coontz II

Thomas M. Jenkins

Summary

In our draft report of September 1, we presented our proposal for a NARA organizational structure that will facilitate the six transformations to achieve within five years: One NARA; Out in Front; an Agency of Leaders; a Great Place to Work; a Customer-Focused Organization; and an Open NARA. Key features of that structure included:

- Replacing the current three program offices (NW, NR, and NL) with three interdependent offices (Agency Services, Research Services, and Libraries and Museums) each of which will have a stake in the success of both headquarters and field operations. This is in direct response to the overwhelming sentiment expressed by almost all segments of NARA that we want to be connected, but are impeded by the stove-piped and fragmented nature of NARA's current organizational structure.
- Re-conceiving the existing senior staff as an Executive Leadership Team and a Management Team, both focused on an "ownership of the whole."
- Organizing program offices around the customer, while maintaining the relevance of the record life cycle. A unifying Chief Operating Officer (COO) ensures that both customer and life cycle needs are met.
- Strategically investing in, developing and managing NARA's workforce by realigning relevant functions into a Human Capital Office reporting directly to the Archivist.
- Creating an office of Digital Development and an external facing Chief Records Officer (CRO), and placing an emphasis on innovation in internal records management, in recognition of the importance of leading in electronic information.
- Creating a Communications and Strategy Office to address the critical need to speak to all of NARA's audiences with a coherent voice rooted in an aligned identity, values and strategy.

Based upon feedback, including more than 370 comments on the Transformation blog, we have revised and clarified both the organizational chart and the explanatory narrative:
- We have included an alternative view of the organizational structure to present a different perspective on our proposal.
- We refined and clarified the role of the COO.
- We refined the roles of the Executive Leadership and Management teams, and their relationship to one another.
- We have added the CFO to the Executive Leadership Team.
- We changed the Communications and Strategy Office to the Strategy and Communications Office to convey that strategy generally precedes communications.
- The office originally called Digital Development has been changed to Information Services to reflect a broadened understanding of the office. The narrative has been updated to reflect how we envision this office. The revision of our thinking in regard to Information Services resulted in scope reduction for the Strategy and Communications Office without changing its overall purpose.
- We have changed the name of Support Services to Business Support and added responsibilities for project and BPR management to this office.
- In the Libraries & Museums Services narrative, we clarified the entities and their scopes within the office.
- We included a brief description of the Federal Register, the Office of the Inspector General, the NHPRC, the Chief of Staff, and General Counsel, and added the Director of the Federal Register to the Management Team to correct this omission in the draft report.
- We have proposed that the Management Team and Inspector General meet on a monthly basis in order to promote effectiveness and efficiency in NARA programs.
- In the Agency Services narrative, we clarified both where records management policy is formulated, and the relationship between the CIO and CRO for developing new archival theory and ensuring its implementation.
- We have included a Questions & Answers section in which we address specific issues raised in the blog comments and other responses to our draft.

The Six Transformational Outcomes and Organizational Change

One NARA
Work as one NARA and not just as component parts.

- A new executive leadership team is tasked with listening to the staff and guiding the development of shared values, vision and an ownership of the whole;
- A new management team is charged with the alignment of resources with agency objectives and priorities;
- Program offices have been designed to be interdependent units rather than independent territories, and now report to a single Chief Operating Officer;
- A new Chief Strategy and Communications Officer promotes understanding and respect for both commonalities and differences among units, but helps us speak with one voice;
- The new Open Government unit within Information Services facilitates sharing knowledge across NARA units.
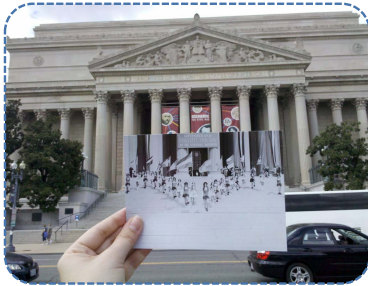
Out in Front
Embrace the primacy of electronic information in all facets of our work and position NARA to lead accordingly.

- The office of Information Services has been redefined:
  - To provide a central, focused approach to both born-electronic and digitized records – managing electronic records electronically throughout their life cycle;
  - To take a leadership role in adapting archival theory for practice in the digital, web and social media environments;
  - To include an Open Government unit dedicated to advancing Open Government values of transparency, citizen engagement and participation, and collaboration both internally and externally;
  - To anticipate technological and media developments as well as customer expectations, in part through a new applied Research and Development function, and plan and act accordingly;
  - To serve as a catalyst for "digital" thinking and promote its diffusion throughout the agency.
- A Chief Records Officer will lead and oversee records management throughout the Federal Government, with an emphasis on electronic records. He or she will be responsible for developing the leadership in records management to assure the preservation of records on all media;
- The Internal Records Management unit will be tasked with making NARA's own record keeping both a testbed for innovation and a model for best practice.

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

- The first recommended action in the transition to a new organization is to identify core values and make them a living part of our culture;
- The entire thrust of the proposed new structure is to better support front line teams – more decision-making needs to happen closer to the customer;
- The Human Capital Office is charged with encouraging and rewarding leadership, service and excellence at all levels – for teams as well as individuals;
- By unifying the recruitment, training/development and diversity units under the Chief Human Capital Officer reporting directly to the Archivist, we signal an intent to raise the profile of these activities.

The Six Transformational Outcomes and Organizational Change, continued

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

- A new Human Capitol Office taking a comprehensive and integrated approach to human capital management throughout the agency, including a renewed commitment to diversity and an emphasis on addressing the needs identified through the Employee Viewpoint Survey;
- Business Support will demonstrate trust in our staff by making business information more available and processes more transparent;
- The Open Government unit in Information Services is charged with finding new opportunities for staff participation and collaboration;
- It is the expectation of the Task Force that the type of feedback from employees that enabled the creation of this report will continue throughout the implementation process;
- The Strategy and Communications Office will ensure improved internal communications up, down, and across the agency.

A Customer-Driven Organization
Create structures and processes to allow our staff to more effectively meet the needs of our customers.

- We will organize our program offices and day-to-day actions around our primary customer groups: Agencies, Researchers, and Visitors. This dedicated focus will allow NARA staff to provide better service to customers and make it easier for customers to interact with staff;
- There will be a new focus on providing excellent customer service, and finding ways to measure and continually improve those services;
- The Business Support Office is charged with looking at NARA's staff and teams as its customers and to support staff in providing service to external customers;
- The Performance and Accountability function has been moved closer to the lines of business and to our customers;
- Program offices and the Business Support office will be measured and evaluated by outcomes rather than outputs;
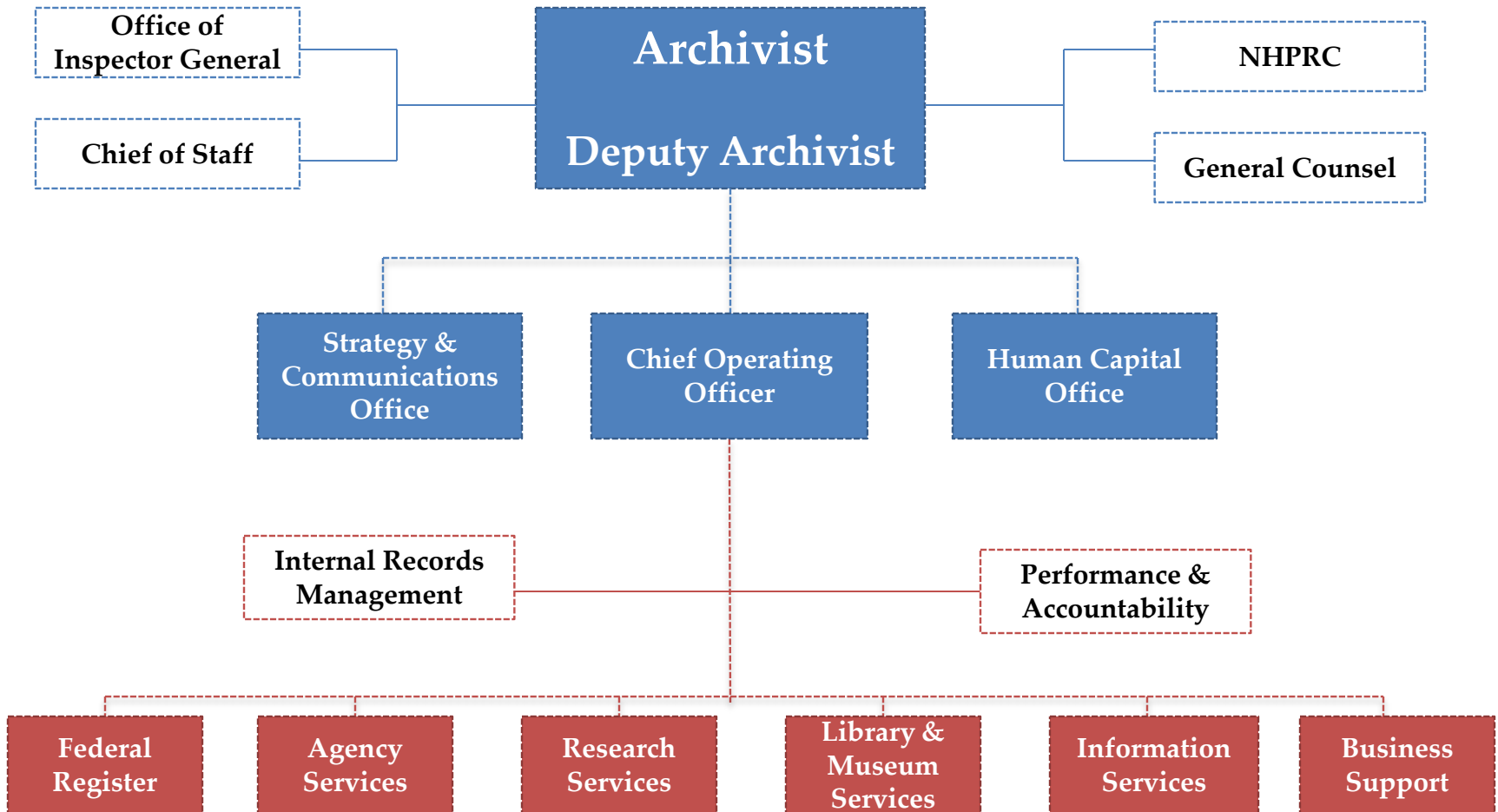- Data-based decision making is pushed closer to the front line.
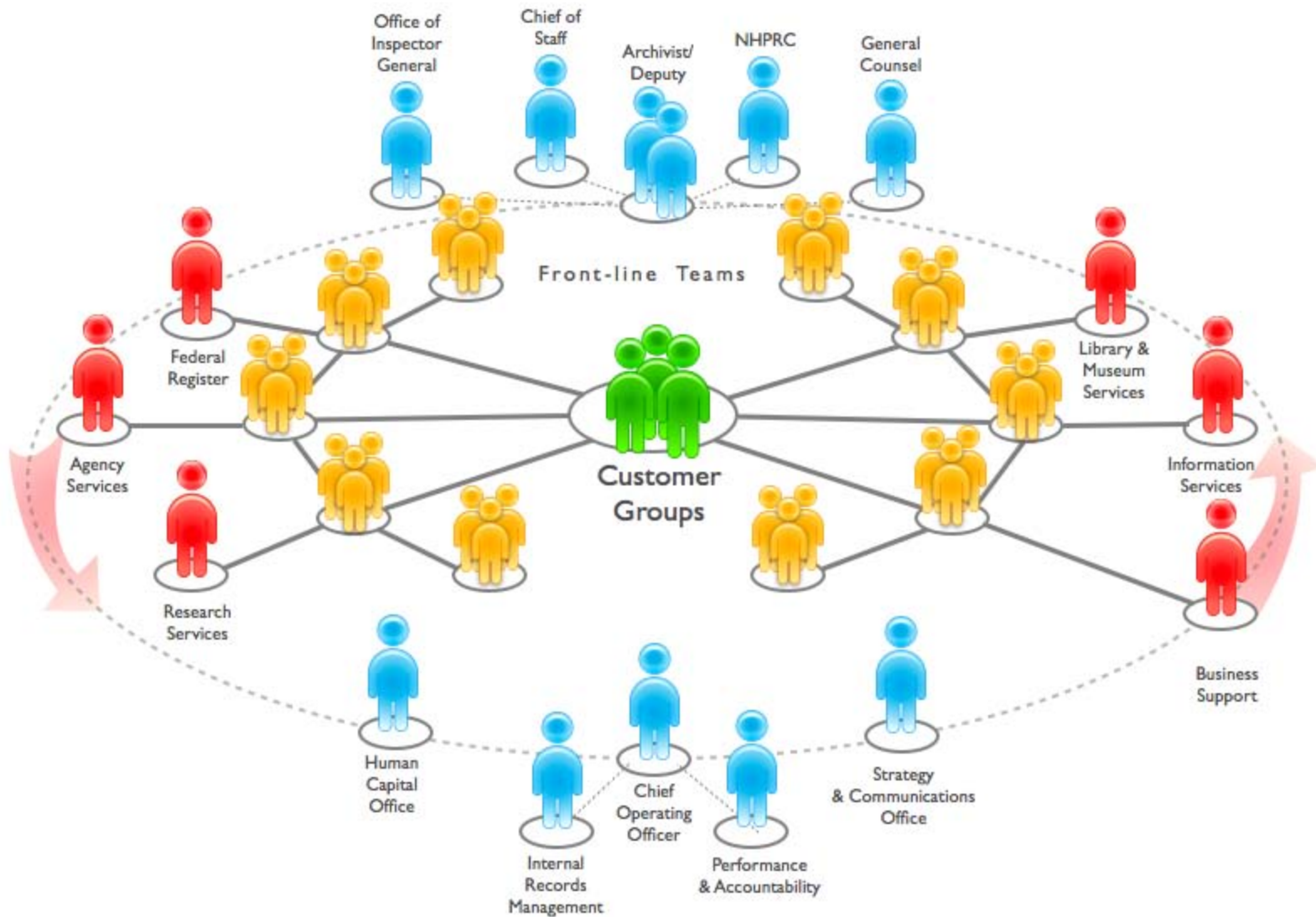

An Open NARA
Open our organizational boundaries to learn from others.

- Transparent communication will begin with the Executive Leadership and Management Teams and be echoed in team structures across the organization;
- New Strategy and Communications Office identifies and implements opportunities for collaboration, encouraging staff and stakeholder input and forging external strategic alliances;
- The new Open Government unit will place a strong emphasis on citizen engagement and the sharing of knowledge across the organization;
- Each program office will be charged with fostering clear, two-way communication with its associated customer groups;
- Units working with a common customer base are grouped together to create a shared approach to communication, even when they perform independent tasks.

Future NARA Organization


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Office of Inspector General
Chief of Staff
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Archivist
Deputy Archivist
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NHPRC
General Counsel
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Strategy & Communications Office
Chief Operating Officer
Human Capital Office
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Internal Records Management
Performance & Accountability
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Federal Register   Agency Services   Research Services   Library & Museum Services   Information Services   Business Support
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Future NARA Organization (Alternate View)

Strategy and Communications Office

Led by a Chief Strategy and Communications Officer (CSCO) reporting to the Archivist and Deputy Archivist.

What it does:
This area of NARA will ensure the agency develops one identity and one overall strategy. The CSCO will collaborate with front line staff as well as program offices in developing strategy. It will communicate NARA's strategy internally and externally in a unified, coherent voice so that all employees, customers, stakeholders and partners understand NARA's mission and strategy, and how they fit into it. It will build the NARA brand and cultivate external relationships through increasing customer interaction. It will market NARA's products, services, programs and policies. It will work with staff to develop and instill a core set of organizational values to which all staff can ascribe. This area also will carry out special agency-level strategic initiatives.

What it includes:
The Strategy and Communications Office will include: the strategic planning, policy and planning and international relations functions of the Policy and Planning Staff (NPOL); the Congressional Affairs Staff (NCON); the Public Affairs and Communications Staff (NPAC) which includes media relations and publications; the External Affairs liaison function currently in the Office of the Archivist; and the marketing and product development functions currently in the Product Development Staff (NWCD). New or increased functions will include internal communications, marketing, relationship management, and foundation and development liaison activities.

How this contributes to transformation:
Orientation of these functions into one area recognizes the important connection between identity and communication.

This area contributes to the "One NARA" transformation by ensuring that the agency develops and shares a common sense of vision, mission, and values that reflects the whole organization. A truly shared vision will enable us to more readily see the greater good and act with an "ownership of the whole." It will unite many scattered voices into a proactive, coordinated marketing and communications strategy. It will dramatically improve internal communications and will work with Information Services to provide tools and processes – such as internal social media applications – to transfer knowledge and best practices across the agency. Social media trends will be monitored and adopted early.

This area will contribute to the "Open NARA" transformation by ensuring that the agency identifies and implements opportunities for openness, transparency, collaboration and innovation both internally and externally. Internally, there will be a vigorous focus on making decision-making information accessible to staff. This unit will take the lead, informed by staff, in writing and updating comprehensive policy for NARA so that policy will serve as an enabling force as well as a form of communication. There will be a commitment to seeking viewpoints and participation from staff and stakeholders, and to expand NARA's capabilities by identifying and forging important external strategic alliances.

Chief Operating Officer (COO)

Reporting to the Archivist and Deputy Archivist.

What it does:
The COO will exercise program leadership at the operational level and ensure that NARA's products and services are delivered to customers in an effective, efficient manner. The COO reports directly to the Archivist and Deputy Archivist, and is a member of the Executive Leadership Team. The COO fosters cohesion and collaboration among program offices, holds the program offices accountable for meeting shared agency goals and objectives, ensures consistent application of policy across programs, and supports program managers in leading change, managing performance, and creating organizational capacity through feedback, coaching, and participation in program events. The COO functions not as an additional layer of traditional hierarchical management, but as an enabling force for bringing decision-making closer to the program offices that work directly with the customer.

What it includes:
The COO will oversee six program offices – the Federal Register, Agency Services, Research Services, Library and Museum Services, Information Services, and Business Support – as well as two staff areas – Performance and Accountability and Internal Records Management.

How this contributes to transformation:
The COO is key to every one of the six transformations. The COO understand and implement modern management theories. He or she will align agency-wide goals, objectives and resources with priorities and to reflect the critical role electronic information plays in NARA's future. Moreover, the COO will oversee the program offices responsible for advancing archival theory and creating innovative practices that anticipate changes in information management technology, serving NARA's external and internal customers, and protecting and preserving NARA's holdings.

Establishing a COO to manage the program offices allows NARA to organize around customers while still providing unified leadership of the records life cycle. By separating this role from that of Deputy Archivist – which has varied with successive Archivists - the COO function becomes formalized to ensure a continued focus on business performance. The Deputy Archivist remains the senior career official who ensures the Archivist's vision and priorities are carried out by the COO, CHCO, and CSCO. A successful COO will provide support and direction for the program offices, freeing the Archivist and Deputy Archivist to focus on larger agency-wide issues and strategies.

Human Capital Office

Led by a Chief Human Capital Officer (CHCO) reporting to the Archivist and Deputy Archivist.

What it does:
This area of NARA will lead the development and execution of NARA's people strategies. It will bring together all of NARA's human capital programs and activities under one umbrella, thereby enabling NARA to take a comprehensive and integrated approach to human capital management throughout the agency. In addition, the CHCO is an integral part of the Executive Leadership Team.

What it includes:
The Human Capital Office will include the functions currently performed by the Human Resources Services Division (NAH), Organization and Staff Development Services Staff (NAO), and the Office of Equal Opportunity and Diversity Management (NEEO). The Director of EEO will continue to have direct access to the Archivist to ensure the independence of the complaints process.

How this contributes to transformation:
By establishing an executive-level human capital organization reporting directly to the Archivist and Deputy Archivist, this change signifies the agency's long-term commitment to making NARA "A Great Place to Work."

It also supports "One NARA" by unifying NARA's human capital functions and ensuring that equal opportunity and diversity considerations are fully ingrained and integrated with all of NARA's human capital programs and initiatives.

It will help put NARA staff "Out in Front" by ensuring that staff have the skills and competencies they need to be successful both now and in the future; expanding NARA's internal training capabilities to a life-long learning approach combining class-room training, personal and professional development, and on-the-job training; and establishing human capital systems and structures that provide balance and flexibility to a workforce that is increasingly mobile and capable of connecting 24/7.

Moreover, it will foster an "Agency of Leaders" by aligning human capital programs and initiatives to encourage and reward leadership, service, and excellence at all levels.

The recently created task force resulting from the Employee Viewpoint Survey is a critical initiative for this new office.

Office of the Federal Register

Led by a Director reporting to the Chief Operating Officer (COO).

What it does:
The Office of the Federal Register performs the Archivist's responsibilities to promulgate and publish Federal documents under the Federal Register Act, the Administrative Procedure Act, and under acts governing the Statutes at Large and slip laws; develops alternative systems to publish Federal laws and regulations in a national emergency; and fulfills the responsibilities of the Archivist concerning Constitutional amendments, the Electoral College, and interstate compacts. The publications for which the office is responsible include the daily Federal Register, the Code of Federal Regulations, presidential documents, the U. S. Government Manual, and the U. S. Statutes at Large.

The Federal Register is led by a Director who is appointed by, and acts under the general direction of the Archivist, pursuant to 44 U.S.C. 1502.

What it includes:
The Office includes the current NF without change.

How this contributes to transformation:
The placement of this office organizationally contributes to the transformational outcome "A Customer-Driven Organization" by recognizing the Federal Register as one of NARA's primary lines of business.

This office will also contribute to "Out in Front." The development and deployment of Federal Register 2.0 is an example of NARA anticipating customer expectations and using technological and media developments to meet those demands.

This office also contributes to "Open NARA" through its daily operations and Federal Register 2.0 by making it easier for citizens and communities to understand the regulatory process and to participate in Government decision-making.

Agency Services

Led by an Agency Services Executive reporting to the Chief Operating Officer (COO).

What it does:

This area of NARA will unify and coordinate the records management and federal records center (FRC) functions currently dispersed across several units in NR and NW, better serving NARA's customers. It will also provide leadership for records management throughout the Federal government and oversee records management and related activities.

The intended outcomes are unification of services from the customer perspective, improved coordination of records management policy and programs, improved collaboration and cooperation between records management and FRC functions and between headquarters and field staff, and a customer-driven emphasis in service development originating with requirements identified by staff working directly with customers.

It will collaborate with Research Services to address life cycle responsibilities, to include building on the existing relationships between staff in the records centers and our staff performing accessioning and reappraisal work.

This recommendation assumes that the financial business model of the FRC Program and the OE/Revolving Fund allocation structure remain "as is."

What it includes:

Agency Services will include scheduling and appraisal as well as records management guidance, training, and oversight, currently located in NW sub-units and NR records management line of business. This will include preaccessioning work done, regardless of records format. It will also encompass the Federal Record Centers, including WNRC and the NPRC military and civilian FRC operations. It will include a new position, the Chief Records Officer (CRO), who will lead and oversee records management throughout the Federal Government, with an emphasis on electronic records.

Agency Services will also include a number of operational or oversight activities that have a direct focus or impact on agencies but which are not agency "driven." While these activities, like much of NARA's work, ultimately serves the public, the lines of business are largely "agency facing." They include: oversight of classification and declassification activities (ISOO); services to agencies and requestors concerning FOIA (OGIS); and coordination and streamlining of declassification activities by other agencies (National Declassification Center). The independent nature and authority of these components, and their access to the Archivist, will be preserved.

Agency Services, continued
Led by an Agency Services Executive reporting to the Chief Operating Officer (COO).

How this contributes to transformation:
This area exemplifies the "Customer Driven" transformation in two ways. First, unification and coordination of records management and FRC services will result in greater transparency and enable one voice for NARA, our partnering agencies, and our customers. It supports a customer focus through both development of services (based on customer requirements) and a focus on supporting activities of "front-line" FRC and records management staff that interact directly with customers. It builds value for customers by providing them with improved services. In addition, bringing the FRC and RM together into one area that collaborates with Information Services leverages the agency's expertise to manage front-end life cycle processes for electronic records ingest into ERA (for example).

Second, putting agency facing oversight and related functions together assures coordination of our efforts, improves capacity, provides better coordinated service to agencies, enhances ability to focus "agency" and "research" functions to solve issues together, and most importantly better positions NARA to advance the public interest.

In supporting "Out in Front," it will assert NARA's role as a leader in records management through the creation of the Chief Records Officer, who will serve as a leader and an advocate for records management and raise its profile. The CRO will also work in collaboration with Information Services and Internal Records Management to develop an integrated, strategic approach to electronic records issues. These, and the unification of presently dispersed functions, will also support development of strategic alliances concerning records management, with entities such as OMB and the CIO Council, and position NARA to influence its customers.

NARA's customers will also be better served through improved communication as the new area enables a better understanding of agency needs and challenges and allows us to provide a consistent message. The improved understanding of NARA's customers will also inform the agency's efforts to develop guidance and training and to conduct oversight.

Research Services

Led by a Research Services Executive reporting to the Chief Operating Officer (COO).

What it does:
This area of NARA will provide world-class service to research customers. It will process and preserve Federal records of all media types and make them accessible. It will collaborate with Agency Services to address life cycle responsibilities, and with Information Services to address digitization and other activities to make records available online.

What it includes:
Research Services will include accessioning, processing, holdings maintenance, preservation, description, access review (FOIA, MDR), reference inquiry response, research room services and mediated online reference, encompassing work functions currently performed in the Office of Records Services – Washington, DC (NW), the Regional Archives component of the Office of Regional Records Services (NR), and the Archival Operations component of the National Personnel Records Center (NPRC). While the NWTS labs are located in Information Services, the preservation responsibilities including the duplication and order fulfillment of microform and other film-based materials, as well as inspection of those materials and maintenance of facilities housing them; and records inspection and preservation/conservation needs assessment and treatment will remain here in Research Services. There will be an increased emphasis on listening and responding to the needs of NARA's research customers.

How this contributes to transformation:
This area reinforces "One NARA" by ending the internal distinction between "NW" and "NR" records and to benefit from shared knowledge and practice between the archival units in Washington and College Park and archival units in the field.

Research Services also supports "Customer-Focused Organization" as it is to be customer-driven with the idea that the front line teams serving researchers are supported by the processing functions. This new area will provide a seamless experience for researchers both on-site and on-line, breaking internal stovepipes around media and content delivery wherever practical.

It is anticipated that the combination of headquarters and field operations will improve the efficiency and effectiveness with which we deliver services to the research customer. Working together with Agency Services, Information Services, and the Strategy and Communications Office, this area will also be able to challenge important but thorny issues such as reappraisal.

Library and Museum Services

Led by a Library and Museum Services Executive reporting to the Chief Operating Officer (COO).

What it does:
This area of NARA will focus on the needs of visitors, educators and students, as well as the critical services that NARA provides to the White House, Congress and the researchers who make use of Presidential and Congressional records. This office's education and outreach functions will create and fulfill an agenda for civic literacy. Centralized leadership of education and exhibit programs will combine the strengths of a decentralized system serving local needs and partnerships with the strengths and visibility that a defined, coordinated, unified national program can bring in marshalling resources and talent to serve visitors where they need us: on line, on site, and off site. This coordination is not only between headquarters and the field, but also among Presidential libraries and regional facilities that serve a common geographic audience.

The individual Presidential libraries and the Center for Legislative Archives, with their well-defined statutory roles, will continue to be testbeds for innovation in archival programs.

What it includes:
Library and Museum Services will include the entire current Office of Presidential Libraries (NL) (including the archival units of same) and the Center for Legislative Archives (NWL), as well as the education, museum operations, and public program components from the Regional Archives and the Center for the National Archives Experience (NWE).

How this contributes to transformation:
This area supports "One NARA" and "Customer-Focused Organization" by recognizing that NARA operates a nationwide network of museums and education service portals, by transferring best practices and knowledge across NARA, and achieving synergies in the production of exhibits, educational products, and public programs.

The placement of Presidential libraries and the Center for Legislative Archives inside "Libraries and Museums" rather than "Agency Services" or "Research Services" should not be construed to either minimize the importance of services to the White House, Congress and the research community nor to imply that interaction among these offices will be minimal. It is expected that the managers and staff of Libraries and Museums will make best efforts to find common ground with agency and research activities occurring in other offices.

Information Services

Led by a Chief Information Officer (CIO) reporting to the Chief Operating Officer (COO).

What it does:
The area will provide a central, focused approach in the areas of both born-electronic and digitized records. Information Services will be responsible for adapting archival theory for practice in the digital, web, and social media environments, advancing Open Government values of transparency, citizen engagement and participation, and collaboration. As the leader of this area, the CIO will collaborate with the CRO, the Digital Strategist, and Internal Records Management to lead an integrated approach to managing electronic information. This area will provide a broad-range of design, R&D, digitization, support, and consulting services. This area will bring disparate digital initiatives together and will sharply focus on strategic information management issues, complying with information and technology laws, including the Clinger-Cohen Act, the Paperwork Reduction Act, the e-Gov Act, and FISMA.

Information Services will bring the best of new technologies and practices into NARA; model effective information management policies; improve NARA's ability to manage the lifecycle of all digital records internally through a digital asset management system; protect information and systems; maintain product ownership of public access systems (e.g. ARC, HMS, AAD, and online ordering); coordinate and perform NARA-wide digitization efforts for preservation and access; provide technical advice and consultant services on project management, digitization, and new technologies for both digitized and born-electronic records; and promote the use of the internet and emerging technologies that provide increased opportunities for citizen and staff engagement.

This area will collaborate and cooperate with all other offices to advance these strategic approaches and to support business needs.

What it includes:
Information Services includes:
- An Open Government unit: the Open Government, web, social media, Online Public Access (including ARC and description support) and other functions currently performed by NARA's Digital Strategies and Services Staff ; the Special Media Preservation Division's (NWTS) reformatting, duplication, digitization, standards development, and consultation services functions for digitization activities and specialized storage; citizen archivist initiatives; digitizing strategy (partnerships, standards, processes, coordination of projects), and digitizing operations (including a new Digital Asset Management function).
- Digital Development and Operations: the mission-oriented elements of the project management functions from the Systems Development Division (NHV) (including CMRS, HMS, ARCIS, Storage Network Infrastructure (SNI), OFAS, ENOS, eDocs programs); the R&D functions of the Center for Advanced Systems & Technologies (NHA), with a new emphasis on applied technologies; the ERA program office (including development of the Base, EOP, and Congressional records instances).
- Information Management Planning: Enterprise Architecture, the Capital Planning and Investment Control (CPIC) process; the functions of the Information Technology Policy & Administration Division (NHP); the Information Technology Security Staff (NHI).

Information Services, continued

Led by a Chief Information Officer (CIO) reporting to the Chief Operating Officer (COO).

How this contributes to transformation:
This area contributes to the transformational outcome "Out in Front." It will allow the agency to begin to combine archival theory and practice into a new way of doing business. Some examples of ways to rethink the agency's practices might include increased efforts to preaccession electronic records (as the agency reexamines the 30-year presumption in respect to the life cycle of Federal records) and piloting "scan on demand" options to make records more available to researchers. It will also redefine the CIO function within NARA by combining traditional IT functions with responsibility for Open Government, web, and social media efforts. R&D will enable NARA to anticipate technology and media developments.

This area will also contribute to "One NARA" by managing born-electronic and digitized information, in a unified way. Having and increasing this outlook will provide the staff with innovative technologies and a context in which information is thought of in digital terms.

This area will contribute to "Open NARA" by elevating the visibility and accountability of the agency's Open Government initiatives, with an emphasis on citizen engagement. The Open Government unit will break down silos and communication barriers by providing tools and processes – such as internal social media applications – to share knowledge across the agency.

This area will also contribute to the transformational outcome "Customer-Focused Organization" in that it will approach its work within the context of providing access to requesters, whether traditional researchers or "invisible" online customers.

Business Support

Led by a Business Support Executive reporting to Chief Operating Officer (COO).

What it does:
This area of NARA will provide excellent support to internal customers to make it easier to provide outstanding service to our external customers. It is responsible for delivering focused, coordinated assistance regarding: money and purchasing; information technology networks, computer equipment, and phones; physical, holdings, and personnel security; "customer service" style navigation of internal service-request processes; and project management including requirements identification and documentation for business needs, and Business Process Re-engineering (BPR) assistance. Direction of these functions by a Business Support Executive adds enhanced accountability for service delivery.

What it includes:
Business Support will include the following:
- A refocused Chief Financial Officer (CFO) is responsible for, and coordinates, the functions of budget, acquisition (purchasing), Trust Fund, Revolving Fund, and financial reporting (currently located in ND, NAA, NAB, NAR, NAT, and NAX). The CFO will be a member of the Executive Leadership Team.
- IT support including NARANET operations and maintenance, equipment enhancement and refresh, and network/phone user services (currently located in NHV, NHM and NHT).
- Project management support for non-IT projects, and business process re-engineering (BPR) support for any NARA business need.
- Building security, holdings protection, and personnel security, infrastructure planning and maintenance functions (currently located in NAS, NAF, and NR).

To ensure support of staff, customers, and facilities in NARA locations outside of the Washington, DC, area, the Chief Operating Officer and the Business Support Executive will define the new responsibilities and roles of the positions currently called Regional Administrators (RAs), Assistant Regional Administrators (ARAs), and NPRC Director, who no longer will be responsible for business-line mission accomplishment and supervision of directors in the field. (This will go to centralized line-of-business leaders.) Also to be determined by the COO and Business Support Executive: the direct line of report for regional Administrative Officers (AOs) and ways to enhance delegation and coverage of facility management tasks in the regions.

How this contributes to transformation:
Placement of functions within this area emphasizes these entities as honest brokers serving the rest of the agency. "One NARA" transformation, orienting these functions into one office, brings focus, coordination, accountability, and efficiency to the financial and procurement, NARANET, and facilities support services needed by all of NARA. Unification of all security functions will enhance coordination and efficiencies in protecting NARA records, staff, and infrastructure. Methods that better connect program areas to the work of Business Support will bring greater internal transparency. For example, an "open ticket" and service standards system may be implemented allowing staff to check current status for any request for assistance from these functions.

Business Support also epitomizes "Customer-Focused Organization" as development of consulting services, including requirements definition, broadens NARA's capabilities for improved identification and implementation of solutions ultimately serving external customers and stakeholders.

Internal Records Management

Led by a Director of Internal Records Management reporting to Chief Operating Officer (COO).

What it does:
As the records manager for the nation's record keeper, this area of NARA ensures proper control over the records and information of the agency. It will be a laboratory for developing and testing records management best practices to help us fulfill our leadership responsibilities in this area. It will inform the development of records management policies created under the direction of the Chief Records Officer (CRO) ensuring NARA's external policies and guidance are forward-looking and realistic, while meeting statutory/regulatory requirements. This area will position NARA to become a model for records management for the entire Federal government.

What it includes:
This area includes NARA's internal records management function performed by NHR.

How this contributes to transformation:
The goal is to transform the way NARA manages its own records by elevating the visibility and accountability of the agency's internal records management program. Improved internal records management will redefine the agency's image, increasing trust and credibility with NARA's external customers. Also, Internal Records Management directly reporting to the COO increases overall staff awareness, understanding of internal records management responsibilities and compliance for internal customers.

This area will promote the "One NARA" outcome by instituting a sense of records ownership for the agency's current content and hold NARA staff accountable for managing their records.

This area promotes the "Out in Front" outcome by equipping NARA to lead by example. For Internal Records Management this transformation means managing "born" electronic records throughout their life cycle electronically, increasing the interoperability of the agency's systems to manage records effectively, accelerating the use of records management compliant technology for NARA's business, and expanding NARA's efforts to proactively manage information in emerging formats.

Performance and Accountability

Led by a Director of Performance and Accountability reporting to the Chief Operating Officer (COO).

What it does:
This area of NARA will support the COO as the program office "business owner" responsible for business processes, standards, and performance. It will improve program office operational effectiveness and efficiency, and identification and management of risks, through performance of the following: working with the CSCO, participates in the development and implementation of NARA-wide strategic and performance plans and related performance measures (both quantitative and qualitative); working with offices to develop and monitor linked strategic and performance plans and measures (both quantitative and qualitative); assisting management in the design, monitoring, and testing of management controls; conducting independent evaluation of management controls; performing audit resolution activities; and coordinating program office continuous performance improvement efforts (such as BPR, LEAN, and other process improvements, working with BPR project management within the Business Support office), and ensuring up-to-date maintenance of the business process hierarchy. In addition, this area will work with the offices to address weaknesses and risks identified by the OIG in the conduct of its work.

What it includes:
This area will include portions of NPOL which currently perform the functions identified above.   NARA's financial audit responsibility will continue to reside with the Chief Financial Officer. A member of the OIG will be invited to serve in a consultative role for the internal control and risk management functions which will be performed as part of this area.

How this contributes to transformation:
Bringing these functions together supports "One NARA" with a unified approach to identifying operational efficiencies (such as best practices, or overlapping activities); monitoring progress (through identification and monitoring of quantitative and qualitative measures) in meeting goals and objectives; identifying, managing, and establishing ownership of risks and challenges; and identifying potential opportunities. Placing this function under the COO puts it closer to the lines of business that serve customers with the intent that performance-related functions will enhance responsiveness to customer needs.

Office of the Inspector General

Led by the Inspector General.

What it does:
Pursuant to the IG Act of 1978, as amended, (5 U.S.C. App. 3), the OIG: conducts audits and investigations relating to all aspects of NARA operations to promote efficiency and prevent waste, fraud, abuse, and mismanagement; reviews and recommends policies for NARA activities and for relationships with other Federal agencies; reviews proposed or existing legislation affecting NARA for impact on the economy and efficiency of operations; keeps the Archivist and the Congress fully informed of fraud, serious problems, abuses and deficiencies relating to the administration of NARA programs; recommends corrective action and reports progress in implementing corrective action; and reports violations of Federal criminal law to the Department of Justice.

What it includes:
The Office includes the current OIG without change.

General Counsel

Led by the General Counsel.

<u>What it does:</u>
The General Counsel provides legal advice and services to the Archivist and NARA officials throughout the agency, and represents NARA in proceedings before administrative tribunals and federal courts (in a support role to the Department of Justice).   The General Counsel: serves as the Chief FOIA Officer and the Senior Agency Official for Privacy; via the office's access staff (which includes NARA's FOIA and Privacy Act Officer), formulates and recommends policy and responds to FOIA and Privacy Act requests for NARA's operational records; serves as NARA's Dispute Resolution Specialist and administers RESOLVE, NARA's alternative dispute resolution program; processes and resolves certain kinds of claims against NARA, including damage and injury claims filed by private citizens; through procurement attorneys in the GC's office, reviews and concurs on certain kinds of procurement actions; and, through the Senior Counsel and DAEO, administers NARA's ethics program.

<u>What it includes:</u>
The Office includes the current General Counsel without change.

Chief of Staff

<u>What it does:</u>
In support of the Archivist and Deputy Archivist, the Chief of Staff establishes priorities, direction, required resources, staffing, and schedule to accomplish the responsibilities of the Archivist and the Deputy Archivist of the United States; directs the secretariat functions in the Office of the Archivist, assigning projects, coordinating requests for meetings for and with the Archivist, coordinating the staffing for meetings and proposed travel by the Archivist, and ensuring appropriate records management practices are carried out; and assists in directing the staffs in the Office of the Archivist.

<u>What it includes:</u>
The Office includes the current Chief of Staff without change.

National Historical Publications and Records Commission (NHPRC)

Commission chaired by the Archivist of the United States. NHPRC staff led by the Executive Director.

What it does:
The National Historical Publications and Records Commission (NHPRC), a statutory body affiliated with the National Archives and Records Administration, supports a wide range of activities to preserve, publish, and encourage the use of documentary sources relating to the history of the United States. Through its grant programs, training programs, and special projects, the NHPRC offers advice and assistance to individuals and non-Federal agencies and institutions committed to the preservation, publication, and use of America's documentary resources. The Archivist is the Chair of the 15-member Commission, which is supported by administrative staff that implements its policies and recommendations, advises NHPRC on proposals, and provides advice and assistance to potential applicants and grantees.

What it includes:
The Office includes the current NHPRC without change.

Leadership Teams

Executive Leadership Team

What it does:
The Executive Leadership Team will work with the Archivist in defining NARA's strategic direction and planning for the achievement of the agency's vision and strategic goals. The team models NARA's organizational values and transparently communicates to employees its methods and decisions.

What it includes:
The Executive Leadership Team is chaired by the Archivist and includes: the Deputy Archivist, the Chief Operating Officer, the Chief Strategy and Communications Officer; the Chief Human Capital Officer; the Chief Information Officer; the Chief Financial Officer, and the General Counsel.

Management Team

What it does:
The Management Team will work with the Archivist to ensure the efficient and effective administration of NARA's programs and functions. It enables the agency's success in meeting the strategic direction established by the Executive Leadership Team. It fosters communication across the organization structure and takes a holistic and unified approach to meeting the needs of our staff, customers, and our lines of business. The team models NARA's organizational values and transparently communicates to employees its methods and decisions. In order to promote effectiveness and efficiency in NARA programs, the Management Team and Inspector General should meet on a monthly basis.

What it includes:
The Management Team is co-chaired by the Chief Operating Officer and the Deputy Archivist and includes: the members of the Executive Leadership Team; the Chief Records Officer; and the Executives for the Federal Register, Agency Services, Research Services, Library and Museum Services, and Business Support.

How these contribute to transformation:
These teams are critical to the implementation of the transformation. The Executive Leadership Team, replacing the current "senior staff" entity, will set the direction to be followed by the Management Team. Both teams will ensure that the agency does not lose the focus on the required transformational outcomes in the face of the agency's daily work and future challenges. They must embody the transformational outcomes in their performance. Their support and constant attention, and the inclusion of staff in planning the agency's work and direction, will be critical to the transformation.

Appendices

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Appendix A: Questions & Answers

Chief Operating Officer (COO)

Doesn't a separate Chief Operating Officer (COO) just add a layer to the organization?
A formal COO is critical to the concept of the proposed organization and to transformation in general. We don't see the COO as an organizational layer that directs operations, but as responsible for ensuring good business management practices and for creating and fostering a collaborative environment and "ownership of the whole" mentality.

The COO should function not as an additional layer of traditional hierarchical management, but as an enabling force for bringing decision-making closer to the program offices that work directly with the customer.

We fully agree with the 2002 GAO report *The Chief Operating Officer Concept: A Potential Strategy to Address Federal Governance Challenges* that a dedicated COO can "elevate, integrate, and institutionalize responsibility for certain key management functions and transformational efforts."

Shouldn't the Deputy Archivist also serve as the COO?
The proposed organization does not preclude an Archivist from formally designating the Deputy Archivist as the COO as well. Some past Archivists have chosen to use the Deputy this way, and others have not. By separating this role from that of Deputy Archivist, we hope that the COO function becomes formalized to ensure a continued focus on business performance.

Further, NARA's mission, budget, and programs have grown in size and complexity over the past 75 years. It will be increasingly difficult for the Deputy to carry out the full range of Deputy functions—which include supporting the Archivist in external-facing functions, human capital functions, and strategy and communications functions—as well as serving as a true COO.

Isn't the COO's span of control is too large?
The COO's job is not to control day-to-day operations, but to ensure good business practices and collaboration and shared ownership among our lines of business. All of our lines of business will report to the COO instead of directly to the Archivist and Deputy Archivist as they do now. The intent is that the COO will have a smaller span of control than the Deputy does today so that the COO can focus on the needs and success of the lines of business.

A designated COO within NARA's organizational structure is expected to bring greater transparency to our work and needs. As part of an "Open NARA," communication flow between staff, managers, and the Archivist would continue.

Appendix A: Questions & Answers, continued

ISOO, OGIS, and NDC

Won't the ability of ISOO and OGIS to perform their unique roles be hampered by the placement in Agency Services by either loss of independence and/or stature?
We believe that it is critical that the independent nature and authority of ISOO and OGIS be preserved. They will maintain the same access to the Archivist that they have now. Their unique roles will be enhanced through a more integrated and informed approach to NARA's oversight and related services.

Isn't the placement of the OGIS, ISOO, and the NDC mistaken, implying that they serve the interests of agencies? Won't placing them in Agency Services risk undermining the authority of NARA as the agencies will see themselves as the primary customers?
We have proposed placing OGIS, ISOO, and NDC in Agency Services because that is where their line of business is rooted. It is true that their work serves the public interest; so, too, does the work of every NARA component, ultimately.

There should be no change in agencies' interactions with OGIS, ISOO, and the NDC, as the clear authorities provided to each by the President and under law remain unchanged. Their independent nature and authority, as well as access to the Archivist, will be preserved. The position of these units inside Agency Services is meant to foster improved communications and knowledge sharing among all the units which conduct business with agencies, but it should not be interpreted to mean that these units will take direction from agencies.

Why is OGIS, which deals with FOIA, part of Agency Services?
While OGIS provides services to agencies and FOIA requestors, and it interacts with the public and public interest groups, the work of OGIS includes:
- providing services to mediate disputes between FOIA requesters and *Federal agencies*;
- reviewing policies and procedures of *administrative agencies* under FOIA;
- reviewing *agency compliance* with FOIA; and
- recommending policy changes to the Congress and President to improve the *administration of FOIA*. [Note: FOIA is administered by agencies.]

Appendix A: Questions & Answers, continued

ISOO, OGIS, and NDC, continued

Shouldn't the NDC be located within Research Services, since its work focuses on accessioned records? Won't the placement of the NDC in Agency Services be of concern to outside stakeholders, including the public?
The legal basis for the NDC (section 3.7 of E.O. 13526) specifically provides a number of roles for the NDC that apply to records in the legal custody of agencies. While the initial focus of the NDC's activity is on resolving the backlog by December 31, 2013, the NDC must also address these other responsibilities. The NDC can't set aside responsibility for improving overall efficiency and effectiveness of the declassification process to focus solely on accessioned records.

We believe outside stakeholders will be satisfied provided that NARA makes progress. Improved declassification—and resolving referrals and the quality assurance problems in the backlog—can be demonstrated by the NDC within Agency Services. Progress in making declassified records available to the public can be demonstrated by Research Services.

Isn't the public the NDC's customer?
The legal basis for the NDC (E.O. 13526) focuses the NDC on the activities of agencies. The role of the public in the NDC is to provide input concerning declassification priorities, which must also rely upon input from the agencies. The NDC lacks the authority to make declassification decisions; that authority rests with the agencies. Rather, the NDC is charged with coordinating and improving the declassification activities of agencies. The "agency" focus remains with the President's memorandum, which requires that the NDC resolve "referrals and quality assurance problems" within the backlog at NARA. These two issues have to be resolved by the agencies, which also are obliged to serve the public interest. Only then can NARA provide public access. Yes, the NDC in the end serves the public interest, but so, too, do almost all of NARA's components.

Placing the NDC in Agency Services separates "declassification" processing from "archival" processing. Doesn't this risk inefficiency, errors, and a new stovepipe? Wouldn't it be better to manage all accessioned records in an integrated manner?
The separation of "declassification" processing from "archival" processing poses real challenges for implementation. There are also challenges posed concerning FOIA/MDR activities (presently within Research Services) for classified records. In a transformed NARA, we expect communication across the organization and a holistic and unified approach to accomplishing mission. In such an environment, collaboration between the Executives for Agency Services and for Research Services and the NDC Director, with the support of the Chief Operating Officer, will promote staff cooperation as they work across units to successfully address the challenges and mitigate any related risks.

Appendix A: Questions & Answers, continued

Placement of CFO and CIO

Shouldn't the CFO and CIO, for example, be located higher in the chart for accountability and/or legal compliance?
Both the CFO and CIO will be a part of the Executive Leadership Team. Location of officials within the organization chart will not limit or confine visibility and accountability. Actually, if the intended organizational transformations are achieved, performance and contributions of any unit or official's leadership could rise in recognition. Location in the chart should be seen as an administrative matter having little to do with opportunity to advise the Archivist, to communicate across the organization, to guide and lead, and to collaborate.

Officials' communication and participation in planning and reporting will be a key element to NARA's successful transformation and goal achievement no matter the organizational structure. The proposed reorganization groups officials within customer-focused services, in part to bring related purposes and resources into greater proximity to serve the increased scope of responsibility and accountability for these services.

How has the Task Force addressed questions concerning Digital Development and location of the Chief Information Officer (CIO)?
Many comments and concerns appeared in the blog regarding the Digital Development area. As a result, we have made several changes to this area. We have now called this area "Information Services" to try to move beyond any perceived limitations to our responsibilities suggested by the word "digital" in the office title. This office is led by the CIO, still reporting to the Chief Operating Officer (COO) but included as a member on the Executive Leadership Team. We anticipate a visionary CIO whose concentration on information management spans digital development and "out in front" exploration and implementation concerning data, electronic records, and use and sharing of information. We hope to move away from a perception that equates a CIO with technology only. This office could contain a Digital Development unit, an Open Government unit, and a unit devoted to planning (including, for example, CPIC process and Enterprise Architecture planning). Please see the revised narrative for more details.

Why is IT network and the CIO not located in the same office?
We believe that strong technical, project, and contract management skills, located within the Business Support office and guided as required by law by the CIO within the Information Services office, can deliver timely and accurate computer network, equipment, and phone support. We believe that location of network and phone services with the Business Support office sends a strong message about expectations and the role that such support plays in assisting staff and programs throughout NARA.

Appendix A: Questions & Answers, continued

Libraries and Museums

Why wasn't archival work performed by the Presidential Libraries and Center for Legislative Archives be recognized in the draft report?
Several comments in the blog called attention to this lack of emphasis in the narrative describing the scope of the new Libraries and Museum Services office. The revised language now highlights the research mission of Libraries and Museums and also notes that these entities' customers include researchers and, respectively, the White House and the Congress. Also we've noted that the new Library and Museum Services Executive, as part of the management team, will actively seek opportunities to share resources and knowledge with units in Agency Services and Research Services as appropriate.

Why aren't the archival work functions of the Presidential Libraries and Center for Legislative Archives placed within the Research Services office?
Several comments asked us to consider placing research services currently performed   in each individual library into the Research Services office. We have concluded, as a practical matter, not to recommend this change. The foremost reason is our keen awareness that the future of the Presidential library system is currently under discussion in Congress. We did not want to propose actions that would appear to preempt that review. In addition, considerable attention and time exceeding the deadline of this Task Force would be needed to address negotiation of 13 separate agreements with library foundations, the legally mandated framework of the Center for Legislative Archives, and the statutory distinctions indicated for Presidential records. No such distinctions exist for Federal records in the holdings of Federal records created by agencies.

Regions

To whom will directors in the regions report?
Supervision and line of report for directors in the regions, including the NPRC, would change. Archives directors, FRC directors, and Records Management directors each would be supervised by, and report to, centralized line-of-business leadership located within NARA headquarters. This also would be true of education specialists, public program specialists, and exhibit specialists currently located within NW and NR—all would report to line-of-business managers. At AI and AII management of these activities would be realigned. The specifics of reporting for all operations previously located within NW and NR would be determined during implementation of the reorganization.

Appendix A: Questions & Answers, continued

Regions, continued

Will staff in the regions, who perform many functions, report to several supervisors?
It is not the intent of the Task Force to imply that any employee will have more than one rating and reviewing official. While the details would be fleshed-out in reorganization implementation phases, the intent is not that the cross-functional teaming, work, and collaboration practices in the regions would cease, or that management and supervision would be complicated. We expect that line of business managers whose responsibilities include work performed in the regions will visit and develop considerable familiarity with staff and their work. Again, consolidated guidance and supervision of functions does not mean that staff will not be allowed to participate in several functions. This may allow for greater potential of cross-training and collaboration, assuming that performance plans and Individual Development Plans incorporate these experiences.

Exactly what will be the role of the former Regional Administrators and Assistant Regional Administrators?
The narrative language describing the Business Support office (formerly proposed as Support Services) has been revised (along with the name) to clarify this matter somewhat—as much as possible at this point. Definitions of the new roles, however, are an implementation matter not for consideration here.

Comment within the blog questioned the placement of such positions within a support role. Based on the blog entries and our experience, we understand that attention is needed to ensure assistance and development of staff, attention to facilities and procurement, to employee and visitor safety, to building and maintaining relationships and partnerships, to negotiate with GSA and collaborate with Federal colleagues and entities in the regions, and more. We see all of this work as supporting all programs and functions in NARA regional facilities. Such cross-functional work in the new organization is rooted in the principles of Business Support.

It is possible that some work, such as this, and redefinition of roles will not be limited to the former RAs and ARAs. Roles within the former NW may be redefined as well. It is possible that the roles and assignments to be defined by the Chief Operating Officer and Business Support Executive may provide more opportunity for senior employees located in DC and in the regions to work together, to see more of NARA, to work directly with more of its staff, and to lead in new and more interesting capacities than was true under the separate management of programs segregated by geography.

Appendix A: Questions & Answers, continued

<u>Federal Register</u>

Why does the Federal Register appear on the proposed organization chart, but the draft report has no accompanying narrative?
This confusion was our (the Task Force's) mistake! The draft report should have mentioned that the scope and responsibilities of the Federal Register would not change in this reorganization. Also, the Director of the Federal Register was inadvertently left off the Management Team, and has been restored to it. We apologize for any confusion.

<u>Labs</u>

Why are the digital and preservation labs, currently in NWTS, split between two offices, especially given that sometimes the staff serve a variety of functions and needs?
The digitizing work of the labs will be a critically important element of NARA's commitment to Open Government, which includes access, preservation, and management of digitized archival records and related metadata. For success in these areas we believe that the digital labs must join with other functions that will support Open Government and digital development responsibilities to be spearheaded from within the Information Services office.

Refocus of the labs' digitizing work does not mean that the staff will not perform the variety of media lab activities needed to assist the needs of the program offices. During implementation of the reorganization it will be important to define the processes and business rules guiding submission of service requests, request fulfillment, and prioritization of work.

The structure makes a distinction between NWTS functions that involve inspecting records to determine their need for electronic preservation - this functions is placed in Research Services, and the labs that perform digitization work which are placed in Information Services.

Appendix A: Questions & Answers, continued

Reorganization

Isn't this reorganization just another version of a stove-piped organization?

We hope not! In comments throughout the transformation blog it is clear that many are excited by the proposed changes to NARA. For this to work, as so many have said in so many ways on our recent blogs and in Idea Scale, such change will take more than reorganization.

You have told us that effective processes, teamwork, and communication, and more, will make the difference. We agree and want to emphasize this point: how we determine to work together will make the difference. For example, various teams could work across functional areas to collaborate on ways to do our work and to serve a variety of customers in innovative ways. In other words, no matter what the organizational structure, NARA will continue to behave as a bundle of stovepipes *only if* we—managers and staff--let it do so. The processes we create should create bridges, as would effective communication, quality, attentive leadership, and devoted cooperation. There is no perfect organizational structure that will provide a "magic bullet" solution. We, collectively, are the key to making any new environment work. But here we are reiterating the discussion of many blog participants.

Please do not read the organization chart as though it was a communication chart or a process map. An organization chart shows where component offices that contribute to a high-level mission are located within a structure. That is all that it demonstrates. The new organization provides the skeletal framework for broader changes that must happen for transformation to take hold. The initiative that will make change happen, the body of leadership, is in employees at all levels, coordinating and collaborating across unit and office lines to make this new organization deliver its potential.

How will we break away from past practices and beliefs that organizational lines, communication lines, and work relationships are the same, are dictated by organizational structure? We need the collective realization that an organization chart does not have to limit how we communicate or work together, or determines whether we have access to the Archivist.

As the blog shows, many already are thinking far ahead of the reorganization draft report, are considering processes and how to make this new structure work. This is great! Perhaps as we proceed in exploring and defining how we will work together in this new environment, other charts and maps reflecting our expectations for communication and collaboration, which may be more appealing and meaningful to us than an organizational chart, will emerge.

Several comments in the blog asked why we have not recommended separate subject/functional specialty offices, such as museums, and archives, and FRC, standing alone, that report directly upward. We believe this approach would contradict the transformational change that NARA needs and to which we are committed, that such an approach would reinforce existing silos. While direction for functions must be consolidated for greater efficiency and consistency, the customer-focused organization necessitates both grouping of related functions facing distinct audiences, and collaboration across functions. In this way, all customer-facing functions ultimately advance the public interest by ensuring preservation of, and access to, records. This is why we believe that "stand alone" is not, for NARA, a positive, transformational idea.

Appendix A: Questions & Answers, continued

Leadership Teams

Why is the membership of the Executive Leadership Team and the Management Team absent representatives of customer-serving units?
The Management Team does include representatives of each of the customer-facing program offices. Some blog comments have suggested that these members are not accountable for customer service; this is not the intent. Team members' perspectives should be shaped by advice from managers and staff running the customer-facing programs, whether internal or external to NARA. All team members are responsible for promoting One NARA.

Who will occupy the leadership positions on the proposed organization chart?
The Archivist will determine how these positions are filled; this was not for the Task Force to consider. The Archivist's sense of urgency in reorganizing NARA, which we share, will bring much focus to this effort.

Suggestions Made on Blog

I suggested a change in the proposed name of an office. What will happen with the proposed names?
In some cases several different names were proposed for certain offices. We considered all suggestions received, and also we tried to think of additional alternatives. We changed two names—Support Services became Business Support, and Digital Development became Information Services—and broadened the scopes of both offices. In other cases naming alternatives veered from the concept of customer-service focus, or could not successfully indicate complete scope of an office, or, simply, produced a name too long and unwieldy. Sometimes, all three aspects were true. In the end, we opted to stick with most of the draft names, hoping for office names that may be easily understood and remembered, and may allow us to move away from the much-commented-upon mailcodes and acronyms currently in use. During implementation, office names may end up being adjusted.

What about all the specific suggestions people made?
We were impressed by how many excellent suggestions were made for change. These ideas have been captured and in some cases reflected in this proposal. Those that you do not see here are being recorded for use in the implementation phase.

Appendix A: Questions & Answers, continued

<u>HPO</u>

How do High Performance Organization (HPO) approaches fit in this reorganization?
The proposed reorganization is intended to focus our work upon delivery of services to customers; however they are defined, however they contact us, and wherever they are located.   This is a core theme of HPO methodologies.

In whatever ways that NARA pursues this objective, leadership will include, but not be limited to, the Human Capital Office, the Chief Operating Officer, the Strategy and Communications Office, and all staff and managers taking initiative to transform NARA and serve our customers better.   A recent example of this HPO-like activity is the participation of staff in the Idea Scale and blogs contributing to this report.

How we do our work is not implied by the structure of an organization chart. Next steps include the planning of effective processes, of inclusive and immediate communication, and of better ways to work together. Determinations about these necessities and more await in the implementation phases of transformation.

<u>Training</u>

After the reorganization will staff be allowed to change roles, get more training? How will this help staff?
As NARA continues to align with human capital planning expectations, our proposed reorganization will bring into greater focus the resources attending to workforce diversity, to training, and to hiring processes, to name a few elements. The proposed Human Capital Office will lead a wide variety of initiatives to reach these short- and long-term goals.

Appendix B: Transformational Outcomes

In 5 years we will be:

One NARA

Work as one NARA and not just as component parts.
- Expect everyone to understand the whole organization and their contribution to it - an "ownership of the whole."
- Develop and instill a shared vision of agency mission and values that reflects that "whole organization."
- Align agency-wide goals, objectives and resources with priorities.
- Concentrate on the "greater good" or "big picture."
- Promote understanding and respect for both commonalities and differences but speak with one voice.
- Transfer best practices and knowledge across NARA units.

Out in Front

Embrace the primacy of electronic information in all facets of our work and position NARA to lead accordingly.
- Advance archival theory and create innovative practices that anticipate changes in information management and technology.
- Lead in this process by building our internal capabilities (agility, infrastructure, tools, skills, etc.).
- Align resources, organizational structure, and skills to reflect the critical role electronic information plays in NARA's future.
- Anticipate technological and media developments as well as customer expectations and plan and act accordingly.
- Develop, attract, retain and support a technologically-enabled workforce.
- Manage electronic records electronically throughout their life-cycle.
- Assert our records management leadership role.

An Agency of Leaders

Foster a culture of leadership, not just as a position but as the way we <u>all</u> conduct our work.
- Empower staff throughout the organization to lead.
- Demonstrate a sense of urgency.
- Anticipate and lead change.
- Behave proactively rather than reactively.
- Build and value a diverse workforce at all levels of the organization.
- Improve labor-management relations.
- Provide more support and recognition to team leaders.
- Take responsibility for meeting customer needs (internally and externally).
- Identify core values, live these values, and make them part of our culture.
- Develop a diverse, flexible leadership cadre and identify and develop future leaders.

Appendix B: Transformational Outcomes, continued

In 5 years we will be:

A Great Place to Work

Transform NARA into a great place to work through trust and empowerment of all of our people, the agency's most vital resource.

- Treat people as the agency's most vital resource.
- Provide staff the opportunity to acquire and practice new skills as well the opportunity to experiment.
- Recognize and reward group and team behavior as well as individual accomplishments.
- Give staff the opportunity to participate and collaborate.
- Eliminate micromanagement.
- Allow for trial and error; encourage creativity.
- Create an environment in which staff feel trusted, empowered, and safe.
- Experiment with technologies to support our line staff who handle physical holdings.

A Customer-Driven Organization

Create structures and processes to allow our staff to more effectively meet the needs of our customers.

- Ensure organizational structures address our diverse customers and their needs.
- Move accountability and decision-making to the staff most immediately responsible for satisfying customer needs.
- Flatten the organization.
- Insist that "program" offices drive service to customers and "support" offices enable the success of "program" offices.
- Improve work processes continuously.
- Measure and evaluate outcomes rather than outputs.
- Make decisions relying on data, not assumptions.

An Open NARA

Open our organizational boundaries to learn from others.

- Make internal information, including decision making, accessible to staff by default.
- Make NARA's actions transparent both internally and externally.
- Optimize existing relationships and build new ones that expand our capabilities (e.g. volunteerism, Citizen Archivist).
- Integrate external strategic alliances into our business model.
- Seek external viewpoints and solutions.
- Offer stakeholders opportunities to participate