Description of document:	Correspondence between the National Archives and Records Administration (NARA) and the Association of Research Libraries (ARL) regarding NARA membership with ARL, 2009-2010
Requested date:	27-November-2010
Released date:	17-December-2010
Posted date:	07-February-2011
Date/date range of document:	May 2009 – 30-November-2010
Source of document:	NARA FOIA Officer (NGC) Room 3110 National Archives and Records Administration 8601 Adelphi Road College Park, MD 20740-6001 Fax: (301) 837-0293 Email: foia@nara.gov

December 17, 2010

Re: Freedom of Information Act Request NGC11-047

This is in response to your Freedom of Information Act request of November 27, 2010, for:

1. " a copy of the recent review of NARA performed by the Association of Research Libraries"

2. "a copy of the letter from ARL to NARA inviting NARA to become a member of ARL, and a copy of the response letter from NARA to ARL."

Your request was received in this office on November 29, 2010 and assigned tracking number NGC11-047.

During the course of review I have determined that:

1. The National Archives does not have a copy of the ARL report cited by you; however the correspondence between ARL and NARA explains the process and the information requested by the ARL for membership.

2. 49 pages of material have been released to you in whole. Six pages were sanitized for Personal Privacy Information (USC§552 (b)(6)), and one page was sanitized for Financial Information (USC§552 (b)(4).) Please see enclosed documents.

If you are not satisfied with our action on this request, you have the right to file an administrative appeal. Address your appeal to the Deputy Archivist (ND), National Archives and Records Administration, College Park, Maryland 20740. Your appeal should be received within 35 calendar days of the date of this letter and it should explain why you think this response does not meet the requirements of the FOIA. Both the letter and the envelope should be clearly marked

"Freedom of Information Act Appeal." All correspondence should reference the tracking number NGC11-047.

Please let us know if we may be of further assistance.

Sincerely,

JOSEPH A. SCANLON
FOIA Officer
Office of General Counsel

Enclosure

From: Joseph Scanlon
To: Wall, Debra
Date: 11/30/2010 3:43 PM
Subject: FOIA

Hi Deb,

I have a FOIA request regarding NARA's relationship with the Association of
Research Libraries (ARL). He wants to have a copy of the "summary review results" of an "indepth
review and site visit." He states that it was provided to the Office of the Archivist.

He would also like a copy of "the letter from ARL to NARA inviting NARA" to join; and a copy of "the
response letter from NARA to ARL."

Do you happen to know if any of the documents exist? And if so, does N have a copy of them?

I will be in training the next two days so there isn't a rush to get back to me about this. I do plan on calling
ARL to find out what they think about the release of their assessment of a member.

Thanks for any help you can give me.

Joe

Joseph A. Scanlon
FOIA/ Privacy Act Officer
Office of General Counsel
National Archives and Records Administration
(301) 837-0583 (office)
(301) 837-0293 (fax)

4/27/2010

Mr. Charles B. Lowry
Executive Director
Association of Research Libraries
21 Dupont Circle, NW, Suite 800
Washington, DC 20036

Dear Charles,

Shortly after becoming the Archivist of the United States, I had a conversation with one of my colleagues regarding the advantages and opportunities our institution would have by becoming a member of the Association of Research Libraries (ARL).

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

While NARA is not a research library in name, we are the repository entrusted to hold the permanently valuable records created by the United States Government, and are responsible for making these records available to the public and the research community around the world.

Based on conversations among our respective staffs, we would like NARA to be considered for membership in ARL.
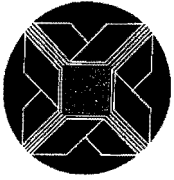
Please continue to communicate with Mary Ann Hadyka, Policy and Planning Staff, regarding any questions you may have regarding our possible membership and any next steps in the process. We look forward to hearing from you.

Sincerely,

David S. Ferriero
Archivist of the United States

Cc: Julia Blixrud, ARL

Official: NPOL
Reading: N, NPOL
File code: 115-4

ASSOCIATION OF RESEARCH LIBRARIES

May 7, 2010

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue, NW
Washington, DC 20408-0001

Dear David:

The Association of Research Libraries (ARL) is delighted to receive your letter expressing the National Archives and Records Administration (NARA) interest in ARL membership. Following our procedures for consideration, we have alerted our Executive Committee to your request and are forwarding your letter to our Membership Committee.

We expect that we can move expeditiously to review and consider NARA for membership. Paula Kaufman, Chair (Illinois at Urbana-Champaign), and Julia Blixrud, staff liaison to the Membership Committee, will work with your staff designate, Mary Ann Hadyka. The procedures call for preparation of documentation and statistics, much of which is already available on your website, and to arrange for a Visiting Committee to develop a report for the ARL membership.

As you know, the Association's mission and mix of research institutions is its strength and we look forward to working with you as we consider NARA and its extraordinary collections and services for membership.

Sincerely,

Charles B. Lowry, Ph.D.
Executive Director

cc: Mary Ann Hadyka, Policy and Planning, NARA
        Paula Kaufman, ARL Membership Committee Chair
        Julia Blixrud, ARL

From: Julia Blixrud <jblix@arl.org>
To: MaryAnn Hadyka <MaryAnn.Hadyka@nara.gov>
Date: 5/6/2010 10:43:31 AM
Subject: Re: Checking in on ARL

Mary Ann,
Thanks so much for preparing the NARA letter. It's on the agenda for our
Board's Executive Committee discussion and will then move formally to
our Membership Committee for the next actions. I'll be back in touch with
you shortly as this application process moves forward.
Regards,
Julia

On Apr 22, 2010, at 6:57 AM, MaryAnn Hadyka wrote:

> Thanks so much Julia. Will get the letter to Charles and you.
>
>>>> Julia Blixrud <jblix@arl.org> 4/21/2010 12:49 PM >>>
> Hi Mary Ann,
> There is no standard application letter. In order to get the process
> started all we need is a letter from David on NARA letterhead
> expressing interest in NARA joining ARL. It should be addressed to
> Charles but cc me. The content of the letter should just say something
>
> about NARA's role and you could just use standard language that you
> use to describe it.
>
> David would be the official representative. We do not have a lot of
> committees so there is no number of staff that would be on committees.
>
> If topics come up for which we would find NARA expertise we would ask
>
> David for suggestions. The only exception is that we will need
> contact people for annual statistics and other surveys.
>
> I will be in the DC office tomorrow so if you need a call don't
> hesitate to let me know.
>
> Julia
>
> Sent from my iPhone
>
> On Apr 21, 2010, at 7:51 AM, "MaryAnn Hadyka"
> <MaryAnn.Hadyka@nara.gov> wrote:
>
>> Julia, so sorry for the delay. Yes, we do want to go forward with
> ARL
>> membership. Can you point me to, or share with me, examples of
>> application documents that have been done in the past?
>>
>> I would also be interested in knowing how many NARA staff would be
>> able
>> to participate in ARL activities (members of committees, etc.).
>>
>> - Mary Ann
>>

>>>>> Julia Blixrud <jblix@arl.org> 4/8/2010 3:55 PM >>>
>> Hi Mary Ann,
>> As I begin to finalize our agenda for the ARL Membership Committee
>> meeting at
>> the end of the month, I thought I would check in with you to see if
>> there's anything
>> I should say about NARA's interest in membership.
>> There has been a lot of activity at the Archives, I know. I've read
>> some of the open
>> government activities and was recently alerted that David's blog is
> up
>> and running.
>> Looks like you are keeping very busy!
>> Regards,
>> Julia
>>
>> -----
>> Julia C. Blixrud <jblix@arl.org>
>> Assistant Executive Director, Scholarly Communication, ARL
>> <www.arl.org>
>> 21 Dupont Circle, Washington DC 20036
>> Tel: (202) 296-2296 Fax: (202) 872-0884 Cell: (202) 251-4678
>> 4207 West 12th St, Lawrence, KS 66049
>> Tel: (785) 841-5550 Fax: (785) 841-5576
>>
>>
>>
>>

Julia C. Blixrud <jblix@arl.org>
Assistant Executive Director, Scholarly Communication, ARL <www.arl.org>
 21 Dupont Circle, Washington DC 20036
 Tel: (202) 296-2296 Fax: (202) 872-0884 Cell: [   ] [   ] (b)(6)
 [   ]

From:	Julia Blixrud <jblix@arl.org>
To:	MaryAnn Hadyka <MaryAnn.Hadyka@nara.gov>
Date:	5/20/2010 12:44:26 PM
Subject:	ARL committee visit to NARA

Hello Mary Ann,

ARL has established a small visiting committee from among our Membership Committee to review NARA for ARL membership. These individuals are Paula Kaufman (University of Illinois at Urbana-Champaign and Chair), Nancy Cline (Harvard), and Rush Miller (Pittsburgh). They are long-time members of the association and David knows them all.

One of our next steps is to establish a time for a visit to NARA and there is some interest in late June when some directors are in DC for the American Library Association annual conference. We think that the group would like to see both the DC and College Park facilities and speak with David and senior staff about the organization's activities and future plans. The individuals on our committee are quite familiar with NARA's operations and, of course, much of your information is available on your web site. They will need to prepare a current report for the membership review and vote..

I think we need plan only a day's visit, and perhaps an evening meal with the committee and David. We would welcome his suggestions, however, if there are other individuals he would like the committee to meet.

Could we begin by checking schedules? Are there days from June 24-30 that might work for NARA? At the same time I will check with our committee members to see what works for them.

We also will need some statistical data and I'll send that request to you in a separate message soon.

Regards,
Julia

Julia C. Blixrud <jblix@arl.org>
Assistant Executive Director, Scholarly Communication, ARL <www.arl.org>
21 Dupont Circle, Washington DC 20036
Tel: (202) 296-2296 Fax: (202) 872-0884 Cell: [   ] (b)(6)

[   ]

From: MaryAnn Hadyka
To: Blixrud, Julia
Subject: Re: Data in preparation for ARL visit on August 16

Julia, more information as requested:

Salaries/wages of NARA staff as of the end of 2009 - $143,682,000 including benefits.

Total other expenditures - $342,349,000

I am still waiting to hear back from our legal office on travel.

- Mary Ann

>>> Julia Blixrud <jblix@arl.org> 7/9/2010 1:06 PM >>>
This is just perfect and just what I need.

Sent from my iPhone

On Jul 9, 2010, at 11:41 AM, "MaryAnn Hadyka" <MaryAnn.Hadyka@nara.gov> wrote:

> Julia, here is a partial response to your question. All data is derived from our 2010 Performance Plan (reporting on 2009 data). I am waiting to hear back from our budget staff on staff salaries/wages.
>
> Number of volumes held:
> 4 million cubic feet of traditional holdings (paper/special media), 628,000 artifacts, 6.7 billion logical data records (roughly 95 terabytes)
>
> Number of volumes added (gross):
> Added .3 million cubic feet of traditional holdings (paper and special media), 46,000 artifacts, and 1.5 billion logical data records
>
> Number of current serials received: N/A
>
> Total expenditures:
> Our annual budget for 2009 was $486,031,000
>
> Total library materials expenditures:
> Will send you this figure minus staff when I have it.
>
> Number of professionals plus support staff:
> As of 9/30/2009 we have 3,483 staff
>
> Salaries and wages of professional staff:
> Will send to you as soon as I get it.
>
> As far as a short, concise document that describes our records, no we do not have that. The Archival Research Catalog is getting us there
> http://www.archives.gov/research/arc/about-arc.html
> and this fact sheet may help you as well
> http://www.archives.gov/press/factsheet.html
>
> - Mary Ann
>
>>>> Julia Blixrud <jblix@arl.org> 7/8/2010 2:02 PM >>>
> Hi Mary Ann,

> I think there is little data we need from you for the upcoming visit by ARL next month.
> While we have a full set of statistics that we collect from members each year, there are some
> standard data variables that we collect from those interested in membership. Knowing
> that your mission and focus are different than those of most of our academic members,
> it still would be helpful to have some of that data in our report to the membership.
>
> For the recent fiscal year, can you provide?
>
> Number of volumes held:
> Number of volumes added (gross):
> Number of current serials received:
> Total expenditures:
> Total library materials expenditures:
> Number of professionals plus support staff:
> Salaries and wages of professional staff:
> I think there are descriptions of your collections throughout your website, but do you have a short,
concise version?
>
> Regarding the visit:
>
> Our Membership Committee Chair, Paula Kaufman, asked whether you have some sort of advisory
board with whom the committee could meet.
> As I reviewed the organization chart, it seemed to me that any of the senior staff who would
> be available to talk with our delegation -- perhaps together or in a couple of smaller groups --
> would be helpful. I see them listed at http://www.archives.gov/about/organization/senior-staff/index.html
>
> Part of the visit would be for our group to get to know the Archives better, but it would also
> be a way for these senior staff to learn more about ARL.
>
> It would be beneficial for short tours both downtown and at College Park. Can we schedule
> the conversation with David around 10:00? I think Nancy Cline is flying down from Boston
> that morning and I'd like to make sure she has time to get there. If that means she misses
> either a small meeting or a tour, I guess that'll have to do. (I'm just lucky we found a date
> that all 3 of the directors can make -- at least so far.)
>
> Regards,
> Julia
>
> -----
> Julia C. Blixrud <jblix@arl.org>
> Assistant Executive Director, Scholarly Communication, ARL <www.arl.org>
> 21 Dupont Circle, Washington DC 20036
> Tel: (202) 296-2296 Fax: (202) 872-0884 Cell: [   ] (b)(6)
> [   ]
>
>
>
>
>

From: Julia Blixrud <jblix@arl.org>
To: MaryAnn.Hadyka@nara.gov
Date: 7/15/2010 3:41 PM
Subject: Re: Data in preparation for ARL visit on August 16

Thanks for this. I appreciate your help.
Julia

Sent from my iPhone

On Jul 13, 2010, at 6:26 AM, "MaryAnn Hadyka" <MaryAnn.Hadyka@nara.gov> wrote:

> Julia, more information as requested:
>
> Salaries/wages of NARA staff as of the end of 2009 - $143,682,000 including benefits.
>
> Total other expenditures - $342,349,000
>
> I am still waiting to hear back from our legal office on travel.
>
> - Mary Ann
>
>>>> Julia Blixrud <jblix@arl.org> 7/9/2010 1:06 PM >>>
> This is just perfect and just what I need.
>
> Sent from my iPhone
>
> On Jul 9, 2010, at 11:41 AM, "MaryAnn Hadyka" <MaryAnn.Hadyka@nara.gov> wrote:
>
>> Julia, here is a partial response to your question. All data is derived from our 2010 Performance Plan (reporting on 2009 data). I am waiting to hear back from our budget staff on staff salaries/wages.
>>
>> Number of volumes held:
>> 4 million cubic feet of traditional holdings (paper/special media), 628,000 artifacts, 6.7 billion logical data records (roughly 95 terabytes)
>>
>> Number of volumes added (gross):
>> Added .3 million cubic feet of traditional holdings (paper and special media), 46,000 artifacts, and 1.5 billion logical data records
>>
>> Number of current serials received: N/A
>>
>> Total expenditures:
>> Our annual budget for 2009 was $486,031,000
>>
>> Total library materials expenditures:
>> Will send you this figure minus staff when I have it.
>>
>> Number of professionals plus support staff:
>> As of 9/30/2009 we have 3,483 staff
>>
>> Salaries and wages of professional staff:
>> Will send to you as soon as I get it.
>>
>> As far as a short, concise document that describes our records, no we do not have that. The Archival Research Catalog is getting us there

>> http://www.archives.gov/research/arc/about-arc.html
>> and this fact sheet may help you as well
>> http://www.archives.gov/press/factsheet.html
>>
>> - Mary Ann
>>
>>>>> Julia Blixrud <jblix@arl.org> 7/8/2010 2:02 PM >>>
>> Hi Mary Ann,
>> I think there is little data we need from you for the upcoming visit by ARL next month.
>> While we have a full set of statistics that we collect from members each year, there are some
>> standard data variables that we collect from those interested in membership. Knowing
>> that your mission and focus are different than those of most of our academic members,
>> it still would be helpful to have some of that data in our report to the membership.
>>
>> For the recent fiscal year, can you provide?
>>
>> Number of volumes held:
>> Number of volumes added (gross):
>> Number of current serials received:
>> Total expenditures:
>> Total library materials expenditures:
>> Number of professionals plus support staff:
>> Salaries and wages of professional staff:
>> I think there are descriptions of your collections throughout your website, but do you have a short,
concise version?
>>
>> Regarding the visit:
>>
>> Our Membership Committee Chair, Paula Kaufman, asked whether you have some sort of advisory
board with whom the committee could meet.
>> As I reviewed the organization chart, it seemed to me that any of the senior staff who would
>> be available to talk with our delegation -- perhaps together or in a couple of smaller groups --
>> would be helpful. I see them listed at http://www.archives.gov/about/organization/senior-
staff/index.html
>>
>> Part of the visit would be for our group to get to know the Archives better, but it would also
>> be a way for these senior staff to learn more about ARL.
>>
>> It would be beneficial for short tours both downtown and at College Park. Can we schedule
>> the conversation with David around 10:00? I think Nancy Cline is flying down from Boston
>> that morning and I'd like to make sure she has time to get there. If that means she misses
>> either a small meeting or a tour, I guess that'll have to do. (I'm just lucky we found a date
>> that all 3 of the directors can make -- at least so far.)
>>
>> Regards,
>> Julia
>>
>> -----
>> Julia C. Blixrud <jblix@arl.org>
>> Assistant Executive Director, Scholarly Communication, ARL <www.arl.org>
>> 21 Dupont Circle, Washington DC 20036
>> Tel: (202) 296-2296 Fax: (202) 872-0884 Cell: ███████████   (b)(6)
>> ████████████████████████
>>
>> ████████████████████████
>>
>>

From: Julia Blixrud <jblix@arl.org>
To: MaryAnn.Hadyka@nara.gov
Date: 7/15/2010 3:41 PM
Subject: Re: Data in preparation for ARL visit on August 16

Thanks for this. I appreciate your help.
Julia

Sent from my iPhone

On Jul 13, 2010, at 6:26 AM, "MaryAnn Hadyka" <MaryAnn.Hadyka@nara.gov> wrote:

> Julia, more information as requested:
>
> Salaries/wages of NARA staff as of the end of 2009 - $143,682,000 including benefits.
>
> Total other expenditures - $342,349,000
>
> I am still waiting to hear back from our legal office on travel.
>
> - Mary Ann
>
>>>> Julia Blixrud <jblix@arl.org> 7/9/2010 1:06 PM >>>
> This is just perfect and just what I need.
>
> Sent from my iPhone
>
> On Jul 9, 2010, at 11:41 AM, "MaryAnn Hadyka" <MaryAnn.Hadyka@nara.gov> wrote:
>
>> Julia, here is a partial response to your question. All data is derived from our 2010 Performance Plan (reporting on 2009 data). I am waiting to hear back from our budget staff on staff salaries/wages.
>>
>> Number of volumes held:
>> 4 million cubic feet of traditional holdings (paper/special media), 628,000 artifacts, 6.7 billion logical data records (roughly 95 terabytes)
>>
>> Number of volumes added (gross):
>> Added .3 million cubic feet of traditional holdings (paper and special media), 46,000 artifacts, and 1.5 billion logical data records
>>
>> Number of current serials received: N/A
>>
>> Total expenditures:
>> Our annual budget for 2009 was $486,031,000
>>
>> Total library materials expenditures:
>> Will send you this figure minus staff when I have it.
>>
>> Number of professionals plus support staff:
>> As of 9/30/2009 we have 3,483 staff
>>
>> Salaries and wages of professional staff:
>> Will send to you as soon as I get it.
>>
>> As far as a short, concise document that describes our records, no we do not have that. The Archival Research Catalog is getting us there

>> http://www.archives.gov/research/arc/about-arc.html
>> and this fact sheet may help you as well
>> http://www.archives.gov/press/factsheet.html
>>
>> - Mary Ann
>>
>>>>> Julia Blixrud <jblix@arl.org> 7/8/2010 2:02 PM >>>
>> Hi Mary Ann,
>> I think there is little data we need from you for the upcoming visit by ARL next month.
>> While we have a full set of statistics that we collect from members each year, there are some
>> standard data variables that we collect from those interested in membership. Knowing
>> that your mission and focus are different than those of most of our academic members,
>> it still would be helpful to have some of that data in our report to the membership.
>>
>> For the recent fiscal year, can you provide?
>>
>> Number of volumes held:
>> Number of volumes added (gross):
>> Number of current serials received:
>> Total expenditures:
>> Total library materials expenditures:
>> Number of professionals plus support staff:
>> Salaries and wages of professional staff:
>> I think there are descriptions of your collections throughout your website, but do you have a short, concise version?
>>
>> Regarding the visit:
>>
>> Our Membership Committee Chair, Paula Kaufman, asked whether you have some sort of advisory board with whom the committee could meet.
>> As I reviewed the organization chart, it seemed to me that any of the senior staff who would
>> be available to talk with our delegation -- perhaps together or in a couple of smaller groups --
>> would be helpful. I see them listed at http://www.archives.gov/about/organization/senior-staff/index.html
>>
>> Part of the visit would be for our group to get to know the Archives better, but it would also
>> be a way for these senior staff to learn more about ARL.
>>
>> It would be beneficial for short tours both downtown and at College Park. Can we schedule
>> the conversation with David around 10:00? I think Nancy Cline is flying down from Boston
>> that morning and I'd like to make sure she has time to get there. If that means she misses
>> either a small meeting or a tour, I guess that'll have to do. (I'm just lucky we found a date
>> that all 3 of the directors can make -- at least so far.)
>>
>> Regards,
>> Julia
>>
>> -----
>> Julia C. Blixrud <jblix@arl.org>
>> Assistant Executive Director, Scholarly Communication, ARL <www.arl.org>
>> 21 Dupont Circle, Washington DC 20036
>> Tel: (202) 296-2296 Fax: (202) 872-0884 Cell: ███████   (b)(6)
>> ████████████████████████
>> ████████████████████████
>>
>>

From: MaryAnn Hadyka
To: Blixrud, Julia
Subject: Re: ARL reserve fund assessment

Julia, here is the draft agenda. Please let me know if it will work for the group.

I guess we are wondering what type of questions will be asked by the committee, when the main group meets with them in the afternoon.

- Mary Ann

>>> Julia Blixrud <jblix@arl.org> 8/2/2010 9:36 AM >>>
Ah, this is the summary set of information I'm putting together that includes
the data you sent as well as information gleaned from the planning reports
you have on the web. I'm working on that today and tomorrow. Let me know
when you have a proposed agenda for the visit -- I'm beginning to get a few
more questions, particularly from the directors' assistants who are putting
together their schedules.
Julia

On Aug 2, 2010, at 6:36 AM, MaryAnn Hadyka wrote:

> Thanks Julia. We are fine with the reserve fund.
>
> You referenced an information packet in an earlier e-mail - -
>
> " As I put together the data and information package for the visiting
> committee, I'll send a copy to you so that you know what they will be
> looking at."
>
> Is this just the reserve fund information or something more?
>
> - Mary Ann
>
>
>>>> Julia Blixrud <jblix@arl.org> 7/30/2010 8:41 AM >>>
> Mary Ann (and Sam),
>
> The policy statement about the reserve fund is in our procedures about
>
> member obligations.
> I'm copying it here:
>
> III. Membership Obligations
> Libraries that are members of the Association are expected to meet the
>
> following membership requirements.
>
>   • Members must contribute the data necessary to establish the
>
> membership indices and to compile the annual ARL Statistics.
>   • Members are expected to be represented at meetings of the
> Association by the library director.
>   • Members must pay all dues and assessments voted by the
> membership.

Association of Research Libraries
Visit of the Visiting Membership Subcommittee
Discussion of NARA's membership to ARL
August 16, 2010
Washington, D.C./College Park, MD
1

Monday, August 16, 2010
National Archives Building, 700 Pennsylvania Avenue, NW

10:00   Opening discussion with David Ferriero

11:00   Tour of Research Center Complex and overview of holdings – Diane Dimkoff

12:00   Travel to College Park (Archives II) by NARA shuttle

Monday, August 16, 2010
National Archives at College Park, 8610 Adelphi Rd., College Park, MD

1:00   Lunch – Archives II cafeteria

2:00   Meeting with Senior NARA Staff (Room 4200) – Thomas, Thibodeau,
         Cummings, Fawcett, Donius, Pomicter, Wright

3:00   Break

3:15   Tour of Research Center Complex and Special Media Laboratory – Vernon
         Smith, Doris Hamburg

14:00   Travel to National Archives Building (Archives I) by NARA shuttle

14:45   Debrief with David Ferriero and day ends

Participants

Association of Research Libraries
- Paula Kaufman, Chair (University of Illinois at Urbana-Champaign)
- Nancy Cline (Harvard University)
- Rush Miller (University of Pittsburgh)

Association of Research Libraries
Visit of the Visiting Membership Subcommittee
Discussion of NARA's membership to ARL
August 16, 2010
Washington, D.C./College Park, MD
2

National Archives and Records Administration

- David Ferriero, Archivist of the United States
- Adrienne Thomas, Deputy Archivist of the United States
- Sharon Thibodeau, Deputy Assistant Archivist for Records Services, Washington, DC
- Susan Cummings, Acting Director, Access Programs, Office of Records Services, DC
- Sharon Fawcett, Assistant Archivist for Presidential Libraries
- Susan Donius, Deputy Assistant Archivist for Presidential Libraries
- Gregory Pomicter, Deputy Assistant Archivist for Regional Records Services
- Pamela Wright, Digital Strategies and Services, Policy and Planning Staff
- Diane Dimkoff, Director, Customer Services Division, Office of Records Services, DC
- Vernon Smith, Chief, Archives II Research Support Branch, Office of Records Services
- Doris Hamburg, Director, Preservation Programs, Office of Records Services, Washington, DC

From: Julia Blixrud <jblix@arl.org>
To: MaryAnn.Hadyka@nara.gov
Date: 8/3/2010 4:12 PM
Subject: ARL documents for Visiting Committee

In addition to the agenda you sent to us, attached are the documents I have
sent to our Visiting Committee.

Julia

Julia C. Blixrud <jblix@arl.org>
Assistant Executive Director, Scholarly Communication, ARL <www.arl.org>
 21 Dupont Circle, Washington DC 20036
 Tel: (202) 296-2296 Fax: (202) 872-0884 Cell: ██████   (b)(6)
████████████████████████████

CC: Sam.Anthony@nara.gov

Evaluation of Nonuniversity Institutions for ARL Membership

From the **ARL Principles of Membership**
http://www.arl.org/arl/membership/qualprin.shtml

A successful research library is distinguished by such characteristics as:

• sustained institutional commitment to the library over time (as evidenced by the nature and extent of resources allocated) and continuing investment that will support:

- distinctive research-oriented collections and resources of national significance in a variety of media;
- services to the scholarly community, including the availability of electronic resources;

• participation in national and/or international library-related programs
• the creation of bibliographic records and their availability on one of the major bibliographic networks;
• the use made of the collections and services by faculty, students, and visiting scholars;
• the preservation of research resources;
• the leadership and external contributions of the staff to the profession;
• the effective and innovative use of technology;
• the engagement and involvement of the library in academic planning and programs of the institution (e.g., development of new academic programs, participation in teaching, research grants or projects, level of development support, service on institutional committees, involvement in governance, etc.).

From the **Procedures for Membership for Nonuniversity Libraries**
http://www.arl.org/arl/membership/qualproc.shtml#pIB

1. Nonuniversity Libraries

    Although ARL is primarily an association of academic libraries, the ARL Bylaws indicate that in addition to major university libraries, membership in the Association is open to "other libraries whose collections are recognized as having national significance." Such libraries are those research libraries not affiliated with degree granting institutions, but that may be affiliated with government agencies, federal, state, or local associations committed to research, or that may be nonaligned, governed by their own boards of directors, trustees, etc. To be eligible for

membership, such libraries must share the same research and service mission as the university library members of the ARL.

In evaluating potential candidates, the Membership Committee will be concerned particularly with the research and scholarly mission (role and scope) defined for a library by its governing body, the commitment of support by the governing body, and evidences of the accomplishment of these missions. Emphasis will be placed on the criteria listed in <u>ARL Principles of Membership</u>. Important consideration will be given to how an institution could contribute to the goals and objectives of ARL.

Nonuniversity research libraries will be evaluated on the qualitative elements of their operations and collections as well as on quantitative elements in accordance with the following guidelines. The appendices outline required documentation and statistics.

- Collections

  Collections must be generally recognized as a major scholarly resource of national importance, as evidenced by listing in national directories and guides and citations in published research. While the collections need not be as broadly based as those of a general university library, they must represent a reasonably broad spectrum of disciplines. The collections should be sufficient in size to correspond to the comprehensiveness and depth required to support doctoral programs. In addition, there must be an acquisitions program at a level to at least maintain the currency of the library's collections.

  The following basic level is suggested: collection size of 1,000,000 cataloged volumes with a low ratio of duplication of titles.

- Acquisitions

  The major characteristics of university library acquisitions should be reflected in nonuniversity library acquisitions. First is the relatively large number of monographs acquired each year and second is the emphasis on serial publications. In addition, a significant percentage of these acquisitions are in foreign languages. University libraries also collect significantly in non-print media and provide extensive access to electronic resources. These characteristics in turn have a heavy impact on university library ordering and cataloging procedures.

2

o Staff

The staff should be large enough and well trained enough, with an appropriate ratio of professional to nonprofessional staff, and with the subject and language expertise required to provide adequate bibliographic control and interpretation of the collections to scholars and researchers.

o Resource Sharing

There should be evidence of active participation in programs of resource sharing of all types as may be demonstrated in:
- services to the library and scholarly community, including the availability of electronic resources, and the creation of bibliographic records and their availability on one of the major bibliographic networks;
- participation in regional and national consortia, networks, etc.;
- participation in interlibrary loan activities for appropriate materials;
- public access to collections for all qualified users;
- effective and innovative use of technology

o Use of Collections

There should be evidence that scholars are using the collection and that the institution is of service to a community of scholars and researchers, as exhibited by records of circulation and interlibrary loans, fellowships, publications, and exhibits.

NARA Statistics (2009 data)

Number of volumes held:
4 million cubic feet of traditional holdings (paper/special media), 628,000 artifacts, 6.7 billion logical data records (roughly 95 terabytes)

Number of volumes added (gross):
Added .3 million cubic feet of traditional holdings (paper and special media), 46,000 artifacts, and 1.5 billion logical data records

Number of current serials received:
N/A

Total expenditures:
$486,031,000

Total other expenditures:
$342,349,000

Number of professionals plus support staff:
3,483

Salaries and wages of professional staff:
$143,682,000 including benefits

All Data FY 2009

Peer Institutions	NARA	Library of Congress	LAC
Volumes Held	N/A	21,586,006	73,138
Volumes Added Gross	N/A	367,598	896
Serials	N/A	215,845	2009: U/A 2008: 46,062
Manuscripts and Archives		63,718 linear ft	121,860 linear ft
Total Expenditures	$486,031,000	$646,761,000	$77,236,219
Total Library Material Expenditures		$19,376,303	$1,300,372
Other Operating Expenditures	$342,349,000	$234,081,000	U/A
Total Professionals plus Support Staff	3,483	3,624	1,129
Salaries and Wages of Professional Staff	$143,682,000 (includes benefits)	$391,815,971	$75,290,547

THE U.S. NATIONAL ARCHIVES & RECORDS ADMINISTRATION

www.archives.gov   Printed on: Monday, August 2, 2010

About ARC

The Archival Research Catalog (ARC) is the online catalog of NARA's nationwide holdings in the Washington, DC area, Regional Archives and Presidential Libraries.

- Scope of Archival Materials
- Searching in ARC
- Standards used for ARC Descriptions
- Sources for Descriptions and their Authority Sources

Additional information:

- ARC Brochure
- Policies and Procedures

    o Ordering Records Found in ARC
    o Records Restrictions (including Copyright)
    o Using Microfilm Copies of Original Records

- Adjust Your Monitor (for Best Viewing of Digitized Images in ARC)

Scope of Archival Materials

Currently there are a total of 2,720,765 cubic feet of holdings described in ARC. This breaks down to:

- 520 Record Groups
- 2,365 Collections
- 102,598 Series
- 3,265,988 File Units
- 292,887 Items

There are also 6,354,765,793 logical data records and 465,050 artifacts described in ARC.

In addition, some archival materials have been digitized and are available through ARC. There are 153,000 digital copies in ARC.

Currently more than 68% of our records are described in ARC. Every week new descriptions are placed in ARC. Many of the records are described broadly at the series level. If you do not find the records you are seeking, please contact the NARA office that holds those records.

Read more about: Why aren't all Federal Archived Records Online?

Please note: Not all finding aids and images on the NARA web site are currently described in ARC yet, although that is our goal. An updated version of Guide to Federal Records in the National Archives of the United States can be searched on the NARA web site to identify records of interest. You may also want to visit the Gateway for Educators and Students, the Online Exhibits, Research at the National Archives, and the individual Presidential Libraries' web sites.

Searching in ARC

Search for archival descriptions in ARC by:

- keyword
- digitized images
- dates
- person name
- topic
- physical location of records

More search options are also available. See **How to Search in ARC** for more details. To browse highlighted topics, see our ARC Galleries. Two ARC guides are available online:
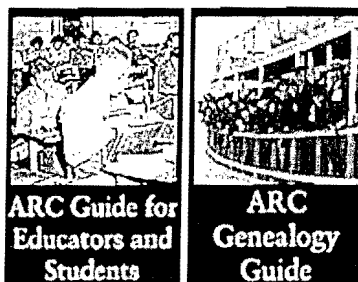
Microfilm Publications may be searched via the Microfilm Catalog.
Selected electronic records holdings may be searched via the Access to Archival Databases (AAD) system.

ARC is designed to work best with either Microsoft Internet Explorer, 5.0 or above, or Netscape Communicator, 4.7 and above.

Standards Used for ARC Descriptions

ARC descriptions are based upon NARA's Lifecycle Data Requirements Guide (LCDRG). The LCDRG establishes standards for NARA's structure and implementation of data to support the lifecycle management of archival materials of all types and formats. The first edition of the guide, issued in November of 2000, contains standards related to archival description. In developing its standards, NARA consulted all relevant external standards to determine their applicability to the description of NARA's holdings of federal and presidential government records and donated materials and used these external standards as a basis for developing a standard which best meets the needs of NARA's holdings. The LCDRG is updated frequently and will expand to cover other portions of the records lifecycle over time.

- Lifecycle Data Requirements Guide (LCDRG) (2.24 MB)
- Lifecycle Data Requirements Guide (LCDRG) (1.23 MB)

Sources for Descriptions

NARA maintains the historically valuable archival materials of the U.S. Government dating from the Revolutionary War era to the recent past. Both the archival materials and their descriptions have come from a variety of sources over time. Some descriptions were written by NARA staff when the archival materials were originally processed by NARA, or during later descriptive projects. Other descriptions were written by Federal agencies that created the archival materials, usually at the time the material itself was created. Words and phrases used in the titles and descriptions often reflect common or popular usage of the era in which they were written.

Sources for Authority Sources

To provide consistent retrieval we have used both external and NARA-created authority sources to index ARC descriptions. These sources include:

### Authority Sources Created by Other Institutions

1. *The Getty Thesaurus of Geographic Names® (TGN)*
   The Thesaurus of Geographic Names® was developed by the Getty Research Institute (GRI), an
   operating program of The J. Paul Getty Trust. This database is used under license from The J. Paul Getty
   Trust. The accuracy of the information contained in the database is not warranted in any way by Getty,
   and Getty assumes no responsibility or liability for the results of any use of the information.
   © 1994 - 2012 J. Paul Getty Trust. All rights reserved. The Getty Thesaurus of Geographic Names is a
   registered trademark of the J. Paul Getty Trust.

2. *The Art and Architecture Thesaurus® (AAT) (Information Forms and Visual Works)*
   The Art and Architecture Thesaurus® was developed by the Getty Research Institute (GRI), an
   operating program of The J. Paul Getty Trust. This database is used under license from The J. Paul Getty
   Trust. The accuracy of the information contained in the database is not warranted in any way by Getty,
   and Getty assumes no responsibility or liability for the results of any use of the information.
   © 1994 - 2012 J. Paul Getty Trust. All rights reserved. The Art and Architecture Thesaurus is a
   registered trademark of the J. Paul Getty Trust.

3. *1977-1999 Retrospective Library of Congress Name Authority File (LCNAF)*
   The Library of Congress Name Authority File is produced and published by the Library of Congress.

Authority Sources Created by NARA

1. *Organization Authority File*
   This authority file lists names of Federal and non-Federal organizations. Names of Federal organizations
   were formulated by NARA and are based upon agency publications and directives and Federal statutes;
   names of most non-Federal organizations were taken from the Library of Congress Name Authority File
   (LCNAF).

2. *Program Area Thesaurus*
   This thesaurus lists the program areas or functions of organizations. NARA created the Program Area
   Thesaurus based upon the Federal Register Thesaurus of Indexing Terms, and the Center for Army
   Lessons Learned (CALL) Thesaurus.

3. *Topical Subjects Thesaurus*
   This thesaurus lists the topics or subjects found in descriptions of archival materials. NARA created the
   Topical Subject Thesaurus from the Library of Congress Subject Headings and other sources.

Page URL: http://www.archives.gov/research/arc/about-arc.html

The U.S. National Archives and Records Administration
8601 Adelphi Road, College Park, MD 20740-6001 • Telephone: 1-86-NARA-NARA or 1-866-272-6272
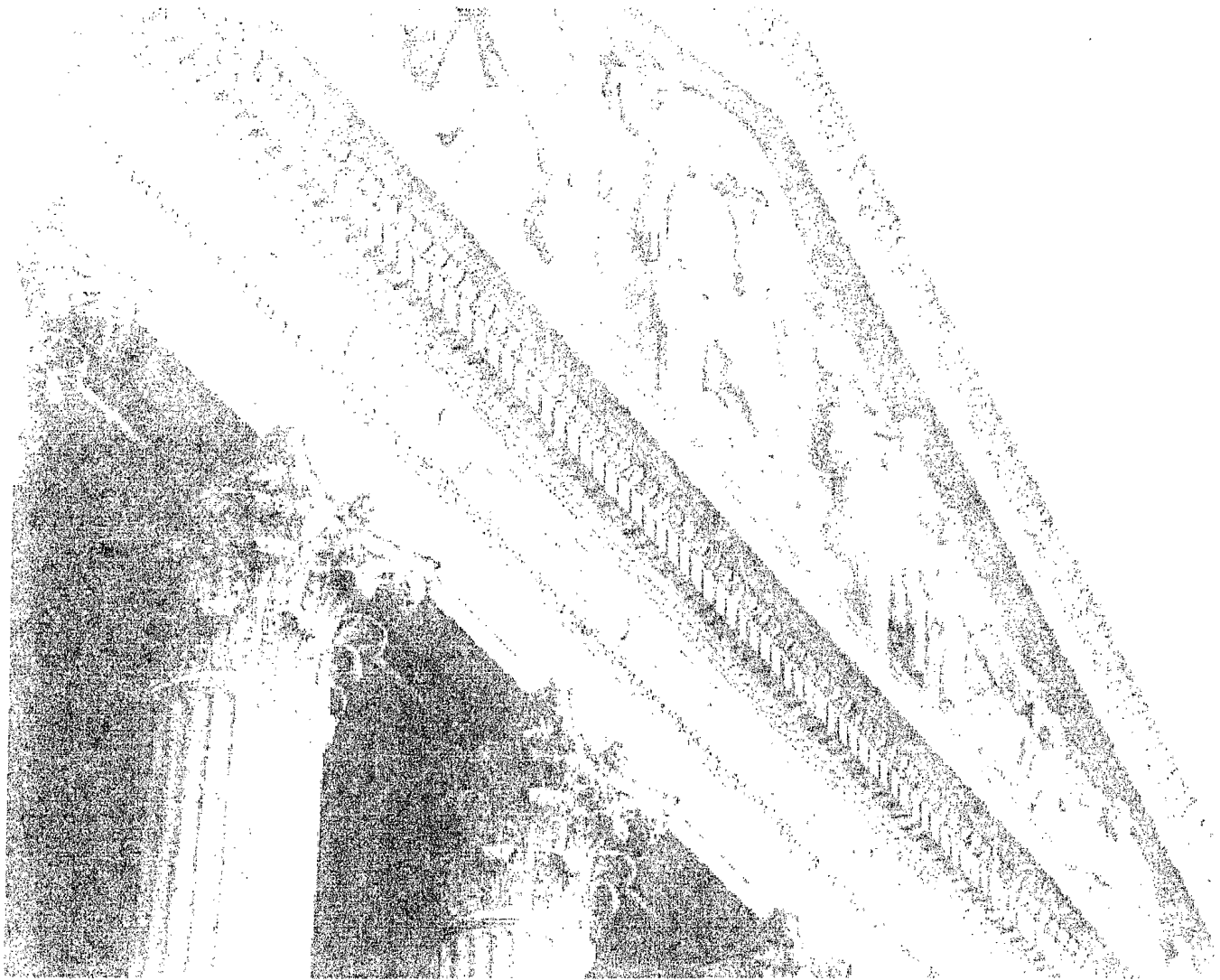
Strategic Human Capital Plan
2009 - 2014

NATIONAL ARCHIVES
AND RECORDS ADMINISTRATION

MESSAGE FROM THE ACTING ARCHIVIST

The National Archives and Records Administration (NARA) is a small agency with a big mission. As our nation's record keeper, our primary purpose is to support American democracy by making government records available to the public. We accomplish this mission through a dedicated workforce of roughly 3,000 permanent employees who maintain a national network of 44 facilities stretching from Washington, DC to the West Coast. Each and every day, our staff works to ensure that the records of the Federal Government are managed, preserved, and accessible to all who need them. Collectively, they are NARA's most valuable resource.

This Strategic Human Capital Plan – NARA's first – is evidence of our commitment to building and maintaining the workforce needed to achieve mission success, both now and in the future. It also represents a shift towards a more strategic role for our human capital function, one that recognizes that we cannot succeed as an agency unless we strategically manage and invest in our workforce. Indeed, we are exposed to human capital challenges on a daily basis. It's hard to pick up a newspaper or magazine today without finding an article on the projected retirement tsunami, generations in the workplace, problems with recruitment and hiring, concerns over work life balance, and other human capital challenges. This plan presents a vision and a roadmap for addressing these challenges and for building and maintaining our future workforce.

Although this is our first formal Strategic Human Capital Plan, it builds on a variety of programs, initiatives, and activities that have defined NARA's human capital focus over the past several years. These include strategic efforts to:

- Better align workforce management with the strategic priorities of the agency;
- Develop workforce planning capabilities and analysis tools;
- Identify NARA's mission critical occupations and the core competencies associated with those occupations;
- Establish an active, professional recruitment outreach function in order to effectively market NARA to potential job-seekers;
- Enhance the diversity of NARA's workforce by establishing partnerships with minority-serving organizations to help increase the pipeline of minority applicants for NARA positions;
- Create a continuous learning culture at all levels of NARA;
- Develop future leaders through structured management development programs; and
- Leverage technology to support how we recruit, develop, and retain employees

I am personally excited about the opportunities this plan presents for us to take our human capital management activities to the next level, and I look forward to working with you to implement our human capital goals and strategies.

Adrienne Thomas
Acting Archivist of the United States

TABLE OF CONTENTS

EXECUTIVE SUMMARY

NARA's first Strategic Human Capital Plan (SHCP), FY 2009-2014 provides direction for addressing our workforce management challenges and opportunities that face us today. It outlines our human capital mission, infrastructure, goals and strategies. The plan is based on guidance provided by the Office of Personnel Management (OPM), and its foundation is rooted in the five human capital systems outlined in OPM's Human Capital Assessment and Accountability Framework (HCAAF).

NARA's human capital planning process increases the understanding and awareness of the factors that impact our workforce. This SHCP establishes a systematic, agency-wide approach to human capital management, aligned with NARA's mission and vision. The purpose of this plan is to address the strategic management of the agency's human capital over the next 5 years.

The identified goals and strategies are a roadmap that will strengthen the agency's approach to human capital management. This plan was developed through a collaborative and coordinated effort that involved input from all NARA program offices, NARA staff and the union. Through briefings, facilitated discussions, and a NARA notice (an internal NARA communication), feedback was collected on critical work unit and workforce challenges facing the agency. Based on this input, the resulting goals emerged:

- Ensure NARA's Strategic Human Capital Plan is aligned with the Agency's strategic plan and integrated into workforce planning.
- Ensure NARA supports a culture of leadership and continuous learning.
- Sustain a productive, diverse workforce and achieve results by valuing and recognizing performance in an environment in which all employees are encouraged to contribute.
- Maximize employee talent through recruitment, outreach, hiring and retention.
- Monitor, evaluate and follow-up on results relating to NARA's human capital management policies, practices, and programs.

Our plan addresses high-level agency-wide human capital initiatives. As we move forward with our human capital planning, a series of implementation plans will be developed that identify specific tactical actions to address targeted program office and/or line of business objectives.

Within each strategic goal are specific metrics to monitor and evaluate progress towards achieving them. These measurements will serve as a source of information guiding the development of a human capital accountability system, one that contributes to agency performance by monitoring and evaluating the results of human capital policies, practices and programs.

We will review this plan annually to evaluate progress towards achieving each goal and strategy. On a five year cycle, we will initiate a full update to establish or revise existing strategic human capital goals. This update will include consultation with stakeholders, including program offices, NARA staff and the union.

SECTION 1: Understanding NARA's Mission, Vision and Human Capital Challenges

Every day the National Archives and Records Administration (NARA) touches the lives of people all over the nation, from the employees who report to work daily, to the visitors who come to see the Declaration of Independence, Constitution, and Bill of Rights in Washington, DC, to the researchers, teachers, students, Government officials and military personnel seeking assistance with information contained in the records that we hold.

Mission

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

Vision

As the nation's record keeper, it is our vision that all Americans will understand the vital role records play in a democracy, and their own personal stake in the National Archives. Our holdings and diverse programs will be available to more people than ever before through modern technology and dynamic partnerships. The stories of our nation and our people are told in the records and artifacts cared for in NARA facilities around the country. We want all Americans to be inspired to explore the records of their country.

NARA Organization Overview*

The National Archives and Records Administration is a public trust on which our democracy depends. We enable people to inspect for themselves the record of what Government has done. We enable officials and agencies to review their actions and help citizens hold them accountable. We ensure continuing access to the records that document the rights of American citizens, the actions of Federal officials, and the national experience.

The National Archives and Records Administration is our nation's record keeper. An independent agency created by statute in 1934, NARA safeguards the records of all three branches of the Federal Government. Our job is to ensure continuing access to essential documentation and, in doing so, we serve a broad spectrum of American society. Genealogists and family historians; veterans and their authorized representatives; academics, scholars, historians, business and occupational researchers; publication and broadcast journalists; Congress, the Courts, the White House, and other public officials; Federal Government agencies and the individuals they serve; state and local government personnel; professional organizations and their members; students and teachers; and the general public—all seek answers from the records we preserve.

To ensure that we preserve the past to protect the future, the National Archives and Records Administration (NARA) appraises, accessions, arranges, describes, preserves, and makes available to the public the historically valuable records of the three branches of Government.

We establish policies and procedures for managing U.S. Government records. We assist and train Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring non-current records to regional records services facilities for cost-effective storage.

We manage a nationwide system of Presidential libraries, records centers, and regional archives. We administer the Information Security Oversight Office, which oversees the Government's security classification program and make grants for historical documentation, preservation, access and publication through the National Historical Publications and Records Commission. We publish the *Federal Register, Statutes at Large,* Government regulations, and Presidential and other public documents.

We carry out our mission through a national network of archives and records services facilities stretching from Washington, DC, to the West Coast, including Presidential libraries documenting administrations back to Herbert Hoover. Figure 1 on the following page illustrates NARA's organizational structure.

---

*As described in NARA's 2008 Performance and Accountability Report and 2009 Annual Performance Plan.

Figure 1. NARA's Organizational Chart.
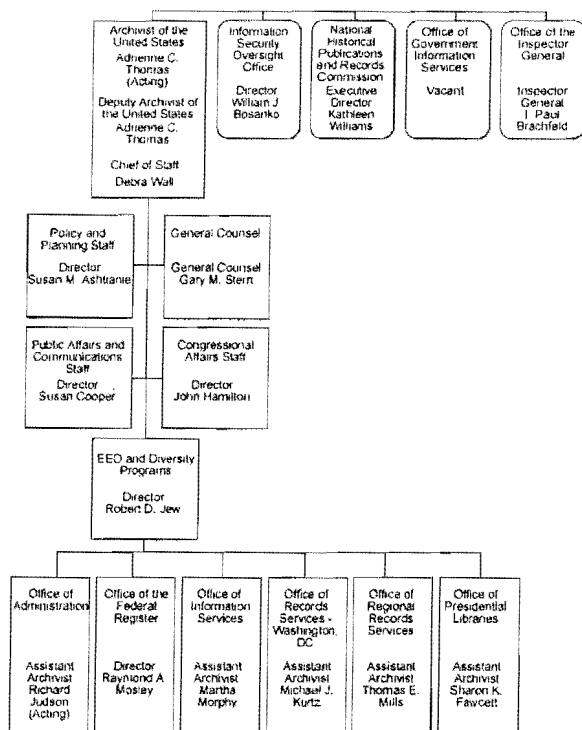
Linkage to NARA's Strategic Plan

NARA's strategic plan details our goals through 2016, the strategies we will use to achieve these goals, and the measures by which we will evaluate our progress. For NARA, a closely aligned human capital strategy ensures our most critical resource, our employees, are linked with the agency's mission, vision, and goals. This SHCP is one vehicle NARA will use to support the goals outlined in the strategic plan.

In 1993, Congress passed the Government Performance and Results Act (GPRA) to focus the Federal government on managing for results, enhancing accountability over government programs, and providing greater managerial flexibility. GPRA provides a statutory foundation of required agency-wide strategic planning, annual performance plans and annual performance reports, and establishes a link between results and resources. NARA's strategic plan, *"Preserving the Past to Protect the Future"* was developed in FY06 and is currently undergoing an update, per GPRA requirements.

NARA's most recent strategic plan was developed in an inclusive process that invited participation from everyone in the agency, as well as from external stakeholders and colleagues in the archival, historical, and records management communities. Approximately 90 focus groups were held around the country with more than 900 staff and volunteers participating in discussions regarding NARA's strategic direction.

Additionally, external stakeholders were invited to comment, and several focus group sessions were held with external groups. The input from these various stakeholder sessions was carefully reviewed and considered in developing our SHCP.

Highlights of NARA's Strategic Plan

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.

Human Capital Challenges Facing NARA

Several challenges were identified in the strategic plan, such as:

- Changing benefits and demands of technology, electronic government and electronic records
- Assuming a leadership role in the management of electronic records management
- Proliferation of Federal records
- Increasing demand for access and significant backlog of unprocessed holdings
- Customer expectations of online access to our holdings
- Concerns with regard to holdings security and continuity of operations, emergency preparedness, and recovery of damaged records in the event of disasters

Each of these challenges has human capital implications. In addition, we know from the employee surveys[1] and the outreach conducted as part of the human capital planning process that other challenges exist, most notably:

- The need to identify the right mix of talent, technology and infrastructure (i.e., workflow, business processes, practices and policies) required to meet changing and growing business demands
- Perceived challenges with staff retention – Why do NARA employees leave?
- The need for staff development opportunities
- A demand for HR operational excellence, an improved hiring process, and a better applicant experience

---

[1] Federal agencies are required by law to conduct an Annual Employee Survey (AES). The AES is designed to address overall employee satisfaction as well as leadership and management practices that contribute to our agency performance. In even-numbered years, the Office of Personnel Management (OPM) administers the Federal Human Capital Survey (FHCS) as part of their ongoing effort to assess and improve human capital management in the Federal Government. The FHCS serves as NARA's AES for that calendar year.

The need to identify the right mix of talent, technology and infrastructure

Concerns were raised about the need for a more proactive, flexible approach to talent management. As we expand our leadership and services in managing Federal records, different skills and abilities will be required. Both the emphasis in electronic records management and increased reliance on partnerships is changing the way work is done. Managers are also feeling overburdened by the increase in reporting and oversight requirements.

Perceived challenges with staff retention – Why do NARA employees leave?

NARA's attrition rate has remained relatively stable over the last three fiscal years, however there is the perception that we are unable to retain staff in certain occupations. With strained resources, addressing growing workloads and attrition becomes very painful for managers to experience. Various explanations for turnover were raised, including low-graded jobs, lack of mobility, and lack of promotional opportunity -- all of which may be factors contributing to employee turnover.

Need for staff development opportunities

Given the rapid pace of change, NARA must constantly prepare today's employees for tomorrow's challenges.

In certain areas -- information technology, cyber security, project management, and acquisition and contracting -- the skills needed are outpacing those available in the current workforce. Also, for employees to stay on the cutting-edge of industry best practices, there is an increased need to maintain networks and contacts through professional societies, associations and conferences.

Demand for HR operational excellence, an improved hiring process, and a better applicant experience

Not uncommon within the Federal arena, managers continue to express dissatisfaction with the hiring process, while job seekers express frustration with the applicant experience. "It takes too long, the application process is too cumbersome, the vacancy announcement is too long, and we can't reach the best-qualified individuals," are some of the frequent criticisms raised.

A dynamic workforce

Finally, there are a number of external factors impacting NARA. Today's workplace is influenced by global competition, an increase in knowledge-intensive work, a mobile labor force, 24-7 work cycle, and an accelerating pace of technological change. The skills needed now and in the future are expanding to reflect the increasing role of technology. Also, workforce trends are likely to affect NARA's ability to recruit, hire, develop, motivate and retain the employees needed.

There is continued focus on diversity. Demographic research suggests that the future workforce talent pool will be much more diverse, including individuals of different genders, ages, races, ethnicities, and lifestyles. We face the challenge of building a workforce that is representative of our Nation's diversity.

The Federal workforce is aging; baby boomers, with their valuable skills and experience are close to retirement. Knowledge loss is possible due to projected retirements within NARA's mission critical occupations. Although imminent retirements may be mitigated by the state of the economy and the plan by many people to work longer than originally planned.

Staff values and expectations are changing. Employment structures and working arrangements are changing. The workplace needs to continue supporting a mix of fulltime, part-time, and temporary workers.

There are multiple generations in the workplace. Research suggests that each of these generations brings their own set of values, beliefs, life experiences, attitudes and ideas about how they should be rewarded for a job well done, sometimes creating conflict and differences in how employees approach their work and communicate with one another.

Increased Focus on Accountability and Results

Several initiatives have evolved to address the need for accountability and results, including GPRA, the Chief Human Capital Oficers (CHCO) Act, and the Human Capital Assessment and Accountability Framework (HCAAF).

Organizations are increasingly pressured to align work and resources with mission objectives.

Moreover, the Federal workforce is being held more accountable for direct and effective delivery of services and management of the cost and quality of services delivered by contractors.

Preserving the Past to Protect the Future

THE STRATEGIC INFORMATION RESOURCES MANAGEMENT PLAN

OF THE

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

May 2009

V e r s i o n   5 . 5

PRESERVING THE PAST TO PROTECT THE FUTURE

MISSION

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

STRATEGIC GOALS

- *One*: As the Nation's record keeper, we will ensure the continuity and effective operations 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 do our part to solve the challenges of electronic records in the Government.

- *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, grants, and education programs.

- *Six*: We will equip NARA to meet the changing needs of our customers.

Foreword

As our national record keeper, the National Archives and Records Administration (NARA) is a public trust that safeguards the records on which our citizens depend for documenting their rights, ensuring the accountability and credibility of national institutions, and analyzing the national experience. Both the Government and the citizen rely on NARA to meet an almost unlimited range of information needs from records. Literally thousands of people, including genealogists, lawyers, historians, veterans, newspaper and television journalists, and government employees, do research in our facilities each year. Thousands more write or call with inquiries for records or information from our holdings, while millions of "visitors" access our web pages, and more than 150 million documents are retrieved from electronic editions of the *Federal Register*, the *Code of Federal Regulations*, and related NARA publications.

Recognizing the citizen's expectation for ever-higher levels of performance and accountability in Federal Government agencies, the President has set a government-wide goal to provide high-quality service at reduced cost, make government services more accessible, and increase government transparency and accountability. As our nation continues its shift from an industrial to a knowledge-based economy, information resources become more and more important to government. For NARA, this importance manifests itself in the unique challenge of dealing with an overwhelming proliferation of electronic records. Successfully meeting this challenge requires that we adhere to NARA's strategic direction as described in our Strategic Plan, and support the mission and goals of the Strategic Plan in accordance with the guidance documented in our Enterprise Architecture.

This Strategic Information Resources Management (IRM) Plan summarizes key elements of NARA's Enterprise Architecture and provides an overview of NARA's strategy for managing IRM activities in alignment with the agency's strategic goals and business programs.

Contents of the Plan

Background

In the past, each of the National Archives and Records Administration's business offices generally built their own applications to support their business processes. Although this often led to the implementation of systems that satisfied user requirements, this approach is becoming untenable as technology increasingly influences how we fulfill our mission, as the scope and scale of our information technology investment grows, and as the need to integrate technology capabilities and business processes across all agency business offices and with external customers, partners, and stakeholders becomes imperative. To address these increasingly complex needs for information system integration and support, NARA will establish and execute agency policies and Information Resources Management (IRM) processes that assure we align investments in information technology (IT) with the agency's strategic goals and business performance objectives.

NARA's Chief Information Officer (CIO), in alignment with Federal law and Office of Management and Budget (OMB) guidelines, has established the Enterprise Architecture (EA) process as the overarching IRM process for the agency. NARA integrates the Capital Planning and Investment Control (CPIC), Program Management, Performance Management, IT Security, and Systems Development Lifecycle (SDLC) processes under the EA umbrella, and governs these processes to assure EA compliance across all IRM activities. This is a fundamental shift in our approach to IRM that moves us away from a program-oriented, budget-centric approach to investment planning and management toward an integrated, agency-wide (sometimes government-wide), architecture-based approach. Our EA helps us better leverage our IRM investments by making choices that are consistent with the strategic direction of our business.[1] While we develop and evolve our EA, we carefully consider the impact of technology on both our strategic goals and our current state of IT deployment. The outcome is a comprehensive set of guidance that helps us to fulfill our mission, meet our strategic goals, and serve our customers more effectively.

At its core, IRM and EA are business driven processes. For this reason our EA methodology starts with an analysis of business needs and includes a comprehensive business element. We recognize that the most significant determinant of the effectiveness of our IRM approach is the degree to which the business owns and participates in IRM activities and how effectively we align IRM activities and EA guidance with our business strategy. For this reason, we position the *Business Architecture* as the driving element of our EA. The Business Architecture is expressed in business terms and is owned and managed by the business. The Business Architecture Working Group (BAWG) is established as a permanent committee under the Architecture Review Board (ARB) to guide and manage the development of the Business Architecture. The active participation by the business offices on the BAWG provides input to the EA process that is critical to developing EA guidance that is useful, and relevant to the agency's mission.

---

[1] Our EA is fully documented in the *National Archives and Records Administration Enterprise Architecture*.

The Impact of Technology

There are three key technology considerations that influence how NARA fulfills its mission. First, accommodating an ever-evolving range of electronic record formats presents a significant challenge. This includes thousands of Federal agency databases, millions of email messages, vast scientific "archives" of information pertaining to weather tracking and space exploration, and countless other records involving digital images, digital sound, geographic information systems, web sites, and other electronic record formats.

Second, the Federal Government is already using technology to produce a tremendous volume of records. During the 1990s, our holdings of electronic records increased from a few thousand files to several hundred thousand. We expect that growth will accelerate in the future. During the Clinton Administration, for example, White House staff used several electronic records management systems. Among the electronic records we accessioned from the White House were Presidential memorandums and documents, National Security Council cable traffic, the President's daily diary, and millions of email messages. We anticipate at least a tenfold increase from the George W. Bush administration. The State Department is estimated to have more than 25 million diplomatic messages in electronic form that will be transferred to us in blocks averaging a million messages a year, every year, indefinitely.

Third, users increasingly expect immediate electronic access to information at no cost. The growth of web access and e-Government, the availability of electronic access under the Freedom of Information Act, as amended by the Electronic Freedom of Information Act, and provisions of the Government Paperwork Reduction Act will further increase demands for online records and services. Consequently, we must preserve electronic records in a way that makes them usable, ensures their authenticity and reliability, and guards against tampering, while ensuring a full and accurate representation of the transactions, activities, or facts to which they attest.

Effectively integrating IT capabilities within our business programs is imperative to fulfilling our mission. Guidance expressed in our Enterprise Architecture will help ensure that we capitalize on opportunities to standardize and reuse IRM resources by analyzing, reengineering, developing, and implementing common IRM processes and functionality across business programs, and in conjunction with Government-wide initiatives. Our EA provides agency-wide planning information that we use to guide the acquisition, use and management of the agency's IT capabilities and assets from varying perspectives (or views) to include: business, data, applications, systems, technology, operations, security, records management, and IRM transitioning.

NARA's Principles of Information Resources Management

We embrace a set of IRM concepts that guide the development of our EA, the consequent acquisition of IT components and services, and the IRM methods and practices of the agency. These concepts are rationalized as a set of *Principles* in our EA and are founded on our architectural values of *simplifying* business processes and plans, *satisfying* user needs, *standardizing* software and institutionalizing standard processes for acquiring it, and *securing* our systems and data. The Principles are fundamental philosophies that express how NARA desires to plan for, acquire, deploy, use, and manage IRM resources as an enterprise: that is, how we will implement fully functional, secure, enterprise-level information systems that meet the needs of the business. The EA Principles state that we will:

> ➤ Maintain and update an Enterprise Architecture in alignment with the agency's business strategy;
> ➤ Thoroughly understand and evaluate our business processes before automating them;
> ➤ Design and build IT systems that meet customer needs;
> ➤ Ensure that the IT infrastructure is available, regardless of a customer's location;
> ➤ Deploy IT capabilities in phases;
> ➤ Manage data as a valuable asset that is critical to the operation of the agency;
> ➤ Manage the Total Cost of Ownership (TCO) for IRM Initiatives;
> ➤ Outsource the IT components and services we require whenever practical;
> ➤ Reuse IT components whenever practical;
> ➤ Acquire systems that are flexible and adaptable to change;
> ➤ Use managed processes to specify, acquire, and deliver IT capabilities;
> ➤ Align technology acquisition with the formal and de facto IT standards that are prevalent in the IT market;
> ➤ Address business continuity, security, privacy, and records management issues as an integral part of all IT system initiatives; and
> ➤ Verify the operational readiness of all IT components prior to placing them in production.

We believe that adhering to these EA Principles is vital because adherence to them will increase our return on IRM investments and help accelerate the realization of our business strategies.

Six IRM Strategies

NARA has identified six key strategies for effective Information Resources Management that we must address. Addressing these six strategies will better enable us to fulfill our mission, meet our strategic goals, and satisfy our customers. The six strategies are listed below. Each of these strategies is further addressed in subsequent sections of this plan.

IRM STRATEGIES

(1) *Mission Alignment* – Align all IRM activities with NARA's business strategy, agency performance targets, and all applicable government-wide programs.

(2) *Enterprise Architecture* – Develop enterprise-wide IRM plans and guidance as necessary to support our business programs.

(3) *IRM Process Integration* – Improve the management and execution of agency programs by better integrating our IRM policies and processes.

(4) *Risk Management* – Manage IRM risk from an enterprise perspective, and establish an IT Security Program to assure the security and privacy of NARA's information assets.

(5) *IRM Governance* – Institute IRM governance committees to oversee all IRM activities and assure conformance with business needs, EA guidance, and all applicable Federal laws, regulations, and guidelines.

(6) *IT Infrastructure Support* – Engineer, maintain, and operate a robust IT infrastructure.

Quick Find

- **Search, view, and print NARA employee e-mail addresses, telephone numbers, or FAX numbers:**

  - Locate Employee by Name or Organization

- **View and print NARA organizational lists:**

  - Organization Telephone Numbers

  - Organization FAX Numbers

Page URL: http://www.archives.gov/about/organization/index.html

The U.S. National Archives and Records Administration
8601 Adelphi Road, College Park, MD 20740-6001 • Telephone: 1-86-NARA-NARA or 1-866-272-6272

THE U.S. NATIONAL ARCHIVES & RECORDS ADMINISTRATION

www.archives.gov   Printed on: Monday, August 2, 2010

National Archives and Records Administration (NARA) Fact Sheet

The National Archives and Records Administration ensures, for the citizen and the public servant, for the President and the Congress and the Courts, ready access to essential evidence that documents the rights of American citizens, the actions of Federal officials, and the national experience from the nation's beginnings in 1774. Among the records in its holdings are the Charters of Freedom: the Declaration of Independence, Constitution and Bill of Rights.

The records of the nation's civil, military and diplomatic activities are held by the National Archives and Records Administration in trust for present and future generations. These documents capture the sweep of America's past: slave ship manifests and the Emancipation Proclamation; journals of polar expeditions and photographs of Dust Bowl farmers; Indian treaties that made transitory promises, and the Louisiana Purchase Treaty that doubled the territory of the young republic; and the records of all our wars and conflicts. In Washington alone these records total more than six billion pieces of paper and over 13 million still pictures; 365,000 reels of motion pictures and 345,000 sound and video recordings; 3 million maps and charts; 4 million architectural and engineering plans; and 27 million aerial photographs.

David S. Ferriero was sworn in as tenth Archivist of the United States on November 13, 2009. Prior to becoming Archivist, Mr. Ferriero was the Andrew W. Mellon Director of the New York Public Libraries and is a leader in the field of research librarianship.

The National Archives and Records Administration, established in 1934, is more than a grand neo-classical building between the White House and the Capitol. It is a national resource, consisting of the National Archives at College Park, Maryland, 13 Presidential libraries, 22 regional records facilities located around the country as well as the Office of the Federal Register, the National Historical Publications and Records Commission (NHPRC), the Information Security Oversight Office (ISOO), the Office of Government Information Services (OGIS), and the National Declassification Center, (NDC).

The Office of the Federal Register edits and publishes a number of important legal and rulemaking publications of the Federal Government, including the daily Federal Register, the annual Code of Federal Regulations, the United States Statutes-at-Large, the Public Papers of the President, and the U.S. Government Manual. Currently, its publications are all available free of charge on the Internet, including the eCFR, today's in effect edition of the Code of Federal Regulations.

The NHPRC is the grant-making body of the National Archives and Records Administration. Established by law, with 15 members representing the three branches of government and professional societies, the NHPRC subsidizes printed publication series, such as the papers of Thomas Jefferson and Martin Luther King, Jr., and provides grants to state and local governments, libraries and associations for the care of historical records.

With the establishment of the George W. Bush Library at its temporary site in Lewisville, Texas, the Presidential libraries operated and maintained by the National Archives and Records Administration now number thirteen. They are:

- Herbert Hoover Library **in West Branch, Iowa**;

- Franklin D. Roosevelt Library **in Hyde Park, New York**;

- Harry S. Truman Library **in Independence, Missouri**;

- Dwight D. Eisenhower Library **in Abilene, Kansas**;

- John F. Kennedy Library in **Boston, Massachusetts**;

- Lyndon B. Johnson Library in **Austin, Texas**;

- Richard Nixon Presidential Library in **Yorba Linda, California, and College Park, Maryland**;

- Gerald R. Ford Library in **Ann Arbor, Michigan**;

- Jimmy Carter Library in **Atlanta, Georgia**;

- Ronald Reagan Library in **Simi Valley, California**;

- **George Bush Library in College Station, Texas**;

- **The William J. Clinton Presidential Library in Little Rock, Arkansas**; and

- **The George W. Bush Presidential Library, temporary site in Lewisville, TX** (the permanent location will be on the campus of Southern Methodist University in Dallas, TX).

These libraries preserve and make available to the public the papers and other historical materials of these Presidents. Through a variety of public programs, the libraries and their museums provide a rich cultural resource for their communities and an opportunity for scholars and citizens alike to enhance their knowledge of the Presidency and the American political system.

Around the country, from Anchorage to Atlanta, there are 22 regional records facilities. They store the non-permanent records of the agencies in their regions, as well as preserve and make accessible to researchers essential evidence documenting the actions of the Federal government in their regions. The materials held in the regional records facilities range from court cases relating to the sinking of the Titanic and farm foreclosures during the Great Depression, to naturalization papers for Hollywood stars and Chinese immigration case files.

With facilities in 17 states, an informative Internet web site at www.archives.gov, the National Archives and Records Administration is the most accessible archives in the world.

# # #

For additional research information, please contact the National Archives Research Staff at 1-866-272-6272; for recorded information about public programs and events, please call 202-357-5000 or visit our online Calendar of Events; for additional Press information, please contact the National Archives Public Affairs Staff at 202-357-5300.
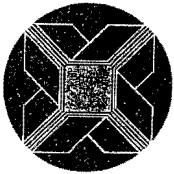
ASSOCIATION OF RESEARCH LIBRARIES

October 21, 2010

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue, NW
Washington, DC 20408-0001

Dear David:

On behalf of the Board of Directors and the Membership of the Association, I am pleased to invite the National Archives and Records Administration (NARA) to become a member of the Association of Research Libraries (ARL). As you know, the member representatives of ARL considered the potential membership of NARA at their Business Meeting on October 14, 2010, in Washington, DC, and voted unanimously to approve the recommendation brought forth by the Board.

ARL membership is maintained on a calendar year basis. Upon acceptance of our invitation, the NARA membership will begin the year you so designate. Since you have indicated to us that you wish to accept from January 1 of this year, we have enclosed an invoice for the 2010 dues amount of $23,704. Also enclosed is a $6,075 invoice for the NARA contribution to the Board Designated Reserve Fund. This figure represents a one-time assessment for new members, which is equal to the equity amount current members have contributed to the Board Designated Reserve Fund (███████ as of September 2010) divided by the number of current members (125). Please let me know if there are any difficulties with the timing of these invoices and we will be happy to work out other arrangements.

(b)(4)

Membership in ARL brings with it the opportunity for research institution and library leaders to work together to shape the evolving environment and influence the future of research libraries. The leadership of the Association looks forward to capitalizing on the distinctive resources and capabilities you can contribute to this process of change and growth. You are, of course, personally familiar with the obligations and benefits of ARL, but let me synopsize them here as a formality.

First, let me list the obligations of membership in the Association. The requirements of membership in the Association are as follows:

- Members must contribute the data necessary to establish the membership indices and to compile the annual *ARL Statistics.*

- Members are expected to be represented at meetings of the Association by the library director.

- Members must pay all dues and assessments voted by the membership.

- Members are expected to participate in the affairs of the Association.

Next, let me offer a few observations about the benefits of membership. The focal point of ARL membership benefits is the driving mission of the Association to influence

"the changing environment of scholarly communication and the public policies that affect research libraries and the diverse communities they serve." ARL pursues this mission by advancing the goals of its member research libraries, providing leadership in public and information policy to the scholarly and higher education communities, fostering the exchange of ideas and expertise, facilitating the emergence of new roles for research libraries, and shaping a future environment that leverages its interests with those of allied organizations.

ARL prides itself on the ability to target its resources on a limited number of key issues. We completed a review of our strategic plan in 2009 and members reaffirmed our commitment to three strategic directions in the new 2010-2012 Strategic Plan:

- Influencing public policy
- Reshaping scholarly communication
- Transforming research libraries roles

These strategic directions are broad and closely linked, and are our critical priorities for the association in the next few years. A copy of the plan is enclosed.

Member support for coalitions such as the Coalition for Networked Information (CNI), the Scholarly Publishing and Academic Resources Coalition (SPARC), and the National Humanities Alliance (NHA) ensures that research libraries have a voice in initiatives that relate to, but extend beyond the ARL mission.

Members benefit from the variety of opportunities to partner with key agencies in higher education to address issues of common concern. For example, ARL and CNI partnered with the Association of American Universities (AAU) and the Association of Public and Land-grant Universities (APLU) to articulate the university's role in the dissemination of research and scholarship.

Members benefit directly from ARL efforts to influence information policy development through an ambitious advocacy program. ARL works with coalitions of like-minded institutions to analyze and respond to attempts to impose new limitations on research uses of intellectual property, government information, and telecommunications policies. It also promotes funding and support for numerous agencies and national institutions

Members also benefit from the breadth of information resources provided by the Association. ARL collects, analyzes and distributes a variety of descriptive statistics and information about member library characteristics and practices. ARL maintains an active publishing capability, most of which are made available open access.

From time to time, ARL also offers conferences, issue-specific workshops, and custom-designed seminars.

Beyond collective action with other organizations on key issues, members gain benefits from interacting with the ARL community. There are two membership meetings each year attended by the chief executive officer, or designee, of the member library. These meetings offer a variety of chances to network with colleagues—who share similar aspirations and challenges—to discuss problems, to learn about issues and developments, and to orchestrate action.

Members are also encouraged to participate in the Association's committee structure. There are steering committees to address the association goals and objectives, along with a small number of short-term task forces and working groups that are established to handle targeted issues affecting research libraries. Once a year, member leaders are invited to express interest in being a part of committee work. Committee participation is a key opportunity to guide the development of the Association's priority activities.

Included with this letter is a copy of *Celebrating Research: Rare and Special Collections from the Membership of the Association of Research Libraries*, with our compliments. This rich compendium provides only a sample of the rich resources within our membership and we would be delighted to include the NARA collections on the web site version of this publication.

I look forward to receipt of your letter of acceptance, and more particularly, to your participation in the Association of Research Libraries. Please do not hesitate to get in touch with me to discuss Association governance and programs, publications, meeting plans, committee policies and other operational matters. We will offer an opportunity for you to spend some time in the ARL office here at Dupont Circle for an in depth orientation. I hope you find that benefits of collective action on key challenges confronting research libraries are enjoyed by the entire NARA community.
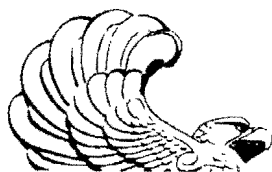
Yours truly,

Charles B. Lowry, Ph.D.
Executive Director

Enclosures: 2010 Dues Invoice
               Contribution to Reserve Fund Invoice
               ARL Strategic Plan 2010-2012
               Celebrating Research

cc: ARL Board of Directors

ARCHIVIST *of the*
UNITED STATES

DAVID S. FERRIERO
T: 202.357.5900
F: 202.357.5901
david.ferriero@nara.gov

November 3, 2010

Dr. Charles B. Lowry
Executive Director
Association of Research Libraries

Dear Charles,

On behalf of the staff of the National Archives, I accept your gracious invitation for membership in the Association of Research Libraries.

The National Archives is one of the premier research institutes in the Federal Government. Our core mission is to provide researchers with the raw materials for their work, a mission we share with the institutions that make up the membership of ARL. We have assisted many of the best historians of the day as well as the average citizen looking for their family story. From that experience, we have much to share with the members of ARL, and there is much we can learn from their experiences.

I look forward to discussing with you ways in which the National Archives can participate in the Association's committee structure to further the exchange of new ideas and creative solutions to old problems.

This is an exciting time for libraries and archives, ripe with opportunities and challenges. We look forward to becoming an active member of ARL.
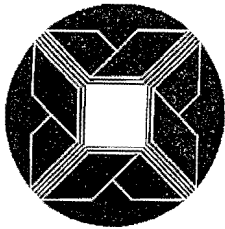
Sincerely,

DAVID S. FERRIERO
Archivist of the United States

ASSOCIATION OF RESEARCH LIBRARIES

21 Dupont Circle, NW Suite 800
Washington, DC 20036-1118
(202) 296-2296 Phone
(202) 872-0884 Fax
http://www.arl.org/

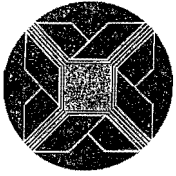| Billing Information	Date
David Ferriero Archivist of the United States National Archives and Records Administration (NARA) 700 Pennsylvania Avenue, NW Washington, DC 20408-0001	10/18/10

Invoice No. 330-2010

Send Payment to

Association of Research Libraries
21 Dupont Circle, NW #800
Washington, DC 20036-1118
ATTN: Mary Jane Brooks

Purchase Order No.

	Amount
Association of Research Libraries 2010 Membership Dues Please make your check payable to the Association of Research Libraries	$23,704.00 US

Federal I.D. NO. 52-0784198-N	**Amount Due**	$23,704.00 USD

Thank you for your continued support!

ASSOCIATION OF RESEARCH LIBRARIES

October 21, 2010

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue, NW
Washington, DC 20408-0001

INVOICE # 330-3750

ARL Board Designated Reserve Fund Contribution

Total Amount Due: $6,075 USD

Please send your check to:

Association of Research Libraries
21 Dupont Circle, NW #800
Washington, DC 20036
ATTN: Mary Jane Brooks

Federal ID Number: 52-0784198

Thank you.