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A Concept of Operations for a National Declassification Center

Revised: July 8, 2009

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A. Executive Summary

In November 2008, President-Elect Obama stated, as part of his Bipartisanship and Openness Initiative's Agenda for Change, that he "will institute a National Declassification Center (NDC) to make declassification secure but routine, efficient, and cost-effective."

In conjunction with agencies holding national security information and declassification authority, the National Archives and Records Administration (NARA) is prepared to take the lead in establishing an NDC that will ensure that declassification is secure, but routine, efficient and cost effective. The NDC will ensure that all sensitive materials will remain protected while enabling more information to be accessible to the American people by:

- Consolidating classified records and agency declassification personnel, thereby enabling initial reviews and subsequent referrals to occur in one centralized location;
- Establishing joint declassification review of Federal and Presidential records at one facility;
- Providing secure storage and related services for records containing classified national security information;
- Providing opportunities for collaboration and better understanding of equities among agencies;
- Developing improved and more uniform guidance, training, and quality assurance procedures;
- Upgrading existing systems, and exploring new technologies to document and streamline the declassification process;
- Laying the organizational groundwork to address the emerging challenges of electronic and special media records; and
- Improving oversight of and establishing priorities for declassification activities.

NARA is prepared to expand the existing National Declassification Initiative (NDI) and begin a pilot business process reengineering project to create the NDC at the NARA facility located at College Park, MD. However, the facility can not accommodate the necessary expansions in storage and work areas which would be required in order to achieve the NDC goals. A new facility dedicated to safeguarding, storing, declassifying, and processing classified records should be constructed to meet the needs of the NDC. This facility should include storage for classified temporary, pre-archival, and archival records, space for declassification review and processing, staff and resources to perform archival work on the records, and the Information Technology (IT) infrastructure necessary to support these functions.

Success of this interagency program is dependant on all participants sharing resources, providing staff to complete declassification review, supporting interagency training programs, developing shared knowledge to improve equity recognition, and establish cooperative processes to improve declassification. To achieve this goal NARA created a high level Concept of Operations (CONOPS) white paper that includes general

88   requirements for the facility, descriptions of participant responsibilities, a summary of
89   functions to be performed at the NDC, a discussion of the IT infrastructure, and a plan for
90   converting the NDI into an NDC. This CONOPS is a blueprint for building the
91   President's vision of an NDC.
92
93   **B. Overview**
94
95   The American public expects national security information to be protected, but they also
96   expect their historical records to be made available over time. Since October 1995,
97   *Executive Order 12958 – Classified National Security Information*, as amended (EO
98   12958), has provided a Government-wide authority and policy framework for securing
99   classified information and carrying out declassification. While agencies have had success
100   adjudicating their equities in their own records to meet the declassification deadlines in
101   the EO, review of referrals and historical records at NARA has been inadequate,
102   especially for records that have equities from multiple agencies.
103
104   Based on estimates NARA collected from agencies with classified holdings, there are
105   over 1.2 billion pages of permanently valuable classified Federal textual records[1] and
106   nearly 40 million pages of Presidential papers, materials, and records[2] that require
107   declassification review over the next 25 years; 51 million pages of referrals generated by
108   agencies reviewing their holdings under the EO that require review by the 31 December
109   2009 referral deadline; and a backlog of approximately 400 million pages of historically
110   valuable Federal records at NARA that require further declassification action. In
111   addition, ISOO's "Report to the President 2008" shows the volume of records being
112   classified records increases annually. In 2008 agencies classified 23.4 million pages
113   under original and derivative classification authorities (an increase of 1% from FY 2007),
114   while the volume of records being reviewed has declined each year since 2006. In 2008
115   agencies reviewed 51.4 million pages (a 14% decrease from 2007).[3] Over the next 25
116   years Federal agencies are facing a massive volume (1.7 billion pages) of classified
117   textual records that, based on 2008 review statistics, will take over 33 years to complete
118   initial review, and many more to complete referral reviews and process all the records for
119   public access. These figures will continue grow each year as more records become 25
120   years old and require review before the automatic declassification deadline.
121
122   In addition to textual holdings, electronic government processes and systems are creating
123   a growing volume of classified records in electronic and other special media formats
124   which also require declassification action. While reviewers are faced with growing
125   volumes of electronic records, they also face problems with obsolete special media and
126   electronic formats, and deteriorating media in textual and special media formats. All
127   these problems must be resolved quickly to meet the December 31, 2011, automatic

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[1] The figure of 1.2 billion pages is taken from an unpublished NARA survey of agencies' classified holdings subject to declassification review over the next 25 years.
[2] The Office of Presidential Libraries estimates the total volume of classified Presidential holdings from the Herbert Hoover through George W. Bush administrations at 40 million pages.
[3] 2008 Annual Report of the Information Security Oversight Office to the President. By William J. Bosanko, Director. Washington, DC.: Government Printing Office, 2008

128 declassification deadline (and subsequent annual deadlines) for special media holdings in
129 EO 12958. These problems will continue to intensify as the volume and complexity of
130 records increases, and the current problems are not resolved.
131
132 In the absence of additional money and resources, agencies must work together to
133 improve the declassification process in order to fully comply with the provisions and
134 declassification deadlines in the EO. Without reform in policy and process, agencies will
135 continue to spend millions of dollars each year[4] perpetuating an ineffective and
136 inefficient declassification system, while the backlog of records waiting to be processed
137 for the open shelves continues to grow. Agencies should be committed to declassify and
138 release records to the public when appropriate, while ensuring classified agency equities
139 are accurately identified and all justifiably classified information is protected.
140
141 Recognizing problems exist in the declassification process, NARA worked to establish
142 the Remote Archives Capture (RAC) program and the (voluntary) NDI to develop a more
143 cooperative declassification and referral process. Beginning in 1996, the Presidential
144 Libraries and the Central Intelligence Agency (CIA) implemented the RAC program to
145 facilitate declassification review and referral of classified Presidential papers in remote
146 locations. This program digitally scans remotely located Presidential classified records
147 and makes all twenty-five year old classified materials available electronically for
148 declassification review in a centralized location in the Washington, DC area. In 2006 at
149 Archives II, NARA incorporated an existing interagency referral center, with a new
150 Quality Assurance (QA) program, and the development of annual processing and
151 declassification work plans to establish the NDI. Through examination of these
152 processes, NARA has identified problems that still exist in the declassification process:
153
154   • There is a massive volume of classified historical records at NARA that are 25
155   years and older which the public can not yet access. Most of these pages have
156   been reviewed by the creating agencies, but cannot be moved to the open shelf
157   because:
158   o Other agencies need to review these records for their equities
159   (referrals).
160   o Quality issues have been identified; including missed sensitive
161   information and referred non-sensitive information.
162   • The Federal Government is paying to protect records that, at 25 or more years
163   after creation and original classification, no longer contain sensitive national
164   security information.
165   • There is a lack of coordination among agencies on policies and processes.
166   • Agencies provide insufficient equity recognition training to other agency
167   reviewers, leading to misidentification of equities during the review process.

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[4] 2007 Annual Report of the Information Security Oversight Office to the President. By William J.
Bosanko, Director. Washington, DC.: Government Printing Office, 2007. The 2007 ISOO report shows
agencies spent $4.6 billion on Information security. Of that total, $44 million was spent on
declassification.

168	• *Ad hoc* declassification decisions are being made without consulting approved
169	declassification guides, leading to incorrect decisions and inconsistencies in the
170	way information is referred, exempted or declassified.
171	• There is a lack of standardized declassification guidance leading to inconsistent
172	and conflicting declassification decisions within agencies and across the
173	government.
174	• There is no common, interagency system for tracking review progress and
175	recording declassification decisions.
176	
177	Through these two programs processing improvements were made, and some success
178	realized, however, execution of the overall declassification process in accordance with
179	EO 12958 has been limited. It has become clear that voluntary participation in the NDI
180	and RAC programs is insufficient, and improvements to existing declassification
181	processes are needed. One concept that has been studied and discussed for over 10 years,
182	both inside government and by independent commissions and boards, is an NDC.
183	
184	The NDC concept has long-standing and broad bipartisan support. In March 1997, the
185	Commission on Protecting and Reducing Government Secrecy (Moynihan Commission),
186	recommended "the creation by statute of a central office—a National Declassification
187	Center—at an existing Federal agency such as the National Archives and Records
188	Administration to coordinate national declassification policy and activities." In his
189	October 2007 "A New Beginning' speech at DePaul University, then-Senator Obama
190	stated "I'll turn the page on a growing empire of classified information, and restore the
191	balance we've lost between the necessarily secret and the necessity of openness in a
192	democratic society by creating a new National Declassification Center. " In December
193	2007, the Public Interest Declassification Board (PIDB) issued a report to the President in
194	which they recommended the establishment of "a new National Declassification Center
195	(NDC)…within the National Archives and Records Administration." In November 2008,
196	President-Elect Obama stated, as part of his Bipartisanship and Openness Initiative's
197	Agenda for Change, that he "will institute a National Declassification Center to make
198	declassification secure but routine, efficient, and cost-effective."
199	
200	In collaboration with agencies holding national security equities and declassification
201	authority, NARA is prepared to take the lead in establishing an NDC. An interagency
202	NDC will establish a cost effective, government-wide system to meet the declassification
203	goals of EO 12958, while protecting sensitive national security information. The NDC
204	will meet these goals by:
205	
206	• Consolidating classified records and agency declassification personnel, and
207	enabling initial reviews and subsequent referrals to occur in one centralized
208	location;
209	
210	• Establishing joint declassification review of Federal and Presidential records at
211	one facility;
212	

213   • Providing secure storage and related services for records containing classified
214   national security information;
215

216   • Providing a centralized location for communication, collaboration and
217   documentation of equity referrals and review decisions;
218

219   • Establishing a system that will allow the sharing of declassification procedures
220   and general guidance between all agencies, and facilitating the development of
221   improved and more uniform declassification guidelines, training, and quality
222   assurance procedures;
223

224   • Upgrading existing systems, and exploring new technologies to document and
225   streamline the declassification process;
226

227   • Addressing the existing challenges of special media and electronic records;
228

229   • Improving the management, prioritization and oversight of agency
230   declassification activities and decisions; and
231

232   • Implementing unified strategies to ensure that the records will be preserved for
233   as long as they are needed.
234

235   The NDC will, for the first time, facilitate the review of both Federal and Presidential
236   records in one location. Transfer, storage, preservation and declassification review for
237   Federal and Presidential of records will be handled using a lifecycle approach that is
238   consistent with the appropriate laws and regulations governing that type of record.
239   Permanent Federal records are retired, and may require a long period of inactive storage
240   before they are accessioned to NARA in accordance with approved records schedules.
241   Federal records are most often accessioned close to the automatic declassification
242   deadline. Presidential records are transferred to the legal custody of the Archivist every
243   four or eight years, a much earlier point in their lifecycle and many years before the
244   automatic declassification deadline. Presidential records are transferred to the President's
245   Library where the staff begins initial processing, responding to special access requests
246   and, at the five year point, responding to Freedom of Information Act (FOIA) requests.
247   When these records reach the twenty-five year point and are ready for automatic
248   declassification, the NDC will work with the RAC program facilitate declassification
249   review through RAC review stations at the NDC.
250

251   Based on the volume of classified records, the need to standardize disparate
252   declassification processes and guidelines, the lack of suitable secure space for agency
253   reviewers and NARA Staff, and to need to replace the aging, substandard classified
254   storage at the NARA records center located at Suitland, a new secure facility is needed to
255   consolidate declassification programs and classified records in one location. While
256   NARA can provide additional support and resources to begin expanding the NDI into an
257   NDC (see Appendix C), the NARA facility at College Park can not accommodate
258   necessary expansions in security, storage vaults, and work areas required by an NDC. As

259 a result, a new facility dedicated to declassification should be constructed. This facility
260 will meet the needs of NARA and all agencies that created classified records by including
261 storage for temporary and pre-archival agency records, storage for classified permanent
262 records accessioned by NARA, space for declassification review and processing, staff
263 and resources to perform archival and preservation work on the records, and provide the
264 security and IT infrastructure necessary to support these functions.
265
266 While NARA is prepared to take a leading role in the creation of an NDC, the success of
267 this interagency program is dependant on all participants sharing resources. Participating
268 agencies will need to provide staff to complete declassification review, support
269 interagency training programs, and develop shared knowledge processes to improve
270 equity recognition. To establish a general NDC framework, NARA developed a high
271 level CONOPS to outline general requirements for the facility, descriptions of participant
272 responsibilities, a summary of functions to be performed at the NDC, and a discussion of
273 the IT infrastructure.
274
275 **C. Facility**
276
277 Once constructed, the NDC will securely store 1.2 million cubic feet of classified
278 temporary, pre-archival and archival Federal records, enable equity holding agencies to
279 access millions of 25 year-old classified Presidential records, and provide a centralized
280 and secure location to perform all functions associated with records storage,
281 declassification, archival processing, accessioning, reference and preservation. To
282 support the work of agency declassification reviewers and NARA staff, the building will
283 include:
284
285   Security
286   • The facility will be certified at the TS/SCI level, and include work and storage
287   space to appropriately protect all classified holdings. It will meet all security
288   requirements established in Director of Central Intelligence Directive Category
289   6 - Security (DCID 6), DOD National Industrial Security Program Operating
290   Manual (NISPOM) and NARA Information Security 202 standards.
291   • The facility will house approximately 240 people and have minimal public
292   interaction.
293   • The facility will be protected 24/7, consistent with all applicable security
294   requirements including, but not limited to military, intelligence community (IC)
295   and NARA.
296
297   Physical Storage
298   • Will be provided for agencies' classified temporary and pre-archival records,
299   and archival storage for classified accessioned records.
300   • Will meet all standards established by NARA for records storage and archival
301   facilities.
302   • Will meet all physical security standards for a TS/SCI facility.

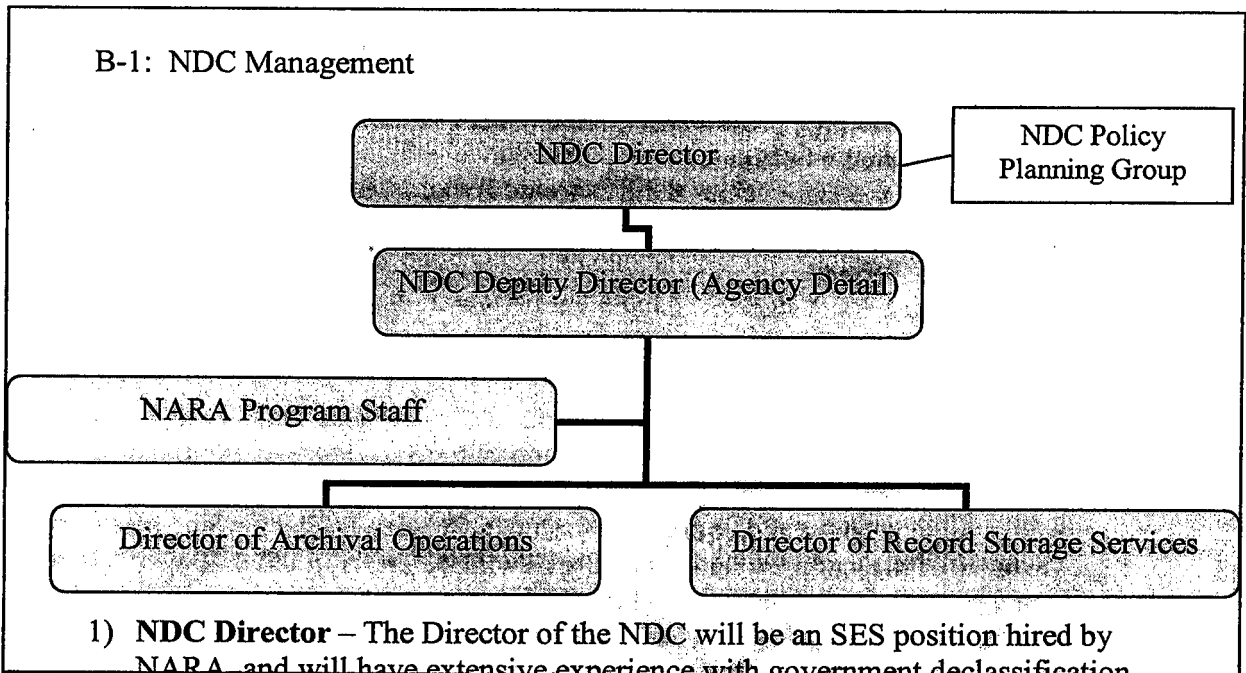| 303 | • Will be coordinated with agencies and NARA units responsible for appraisal, |
304	accessioning, reference, declassification, processing, and preservation and
305	include:
306	o Storage, preservation, reformatting and access to textual and special
307	media holdings.
308	o A system, such as the Electronic Records Archives (ERA), that will
309	support storage, preservation and access for classified electronic
310	records.
311	• Will include RAC stations to handle the review of classified Presidential
312	records.
313	
314	Work Space
315	• Will include space for NDC staff to support transfer, storage, reference and
316	recalls for temporary and pre-archival agency records.
317	• Will include space and equipment for agency reviewers performing systematic
318	review of their agency records and reviewing referrals in other agency records
319	in all formats, including special media records.
320	• Will include space for NDC staff performing archival functions and supporting
321	the declassification process.
322	• Will include space for performing conservation and preservation reformatting
323	on textual records.
324	• Will include space for review and preservation reformatting of special media
325	records.
326	
327	IT Infrastructure
328	• Will include a system or systems in place to ensure accurate and timely tracking
329	of all holdings.
330	• Will include a system to facilitate and document the declassification process
331	from initial review through public access.
332	• Will include a system that will support NDC staff processing special access
333	requests, to include case tracking and redaction functionality.
334	• Will include the ability to develop existing technologies, and explore new
335	technologies to improve and modernize the declassification process.
336	• Will include desktop, e-mail, file, and print server coordination.
337	• Will include the ability to access classified Presidential Library documents
338	through RAC review stations for declassification review.
339	
340	**D. Staffing**
341	
342	The day-to-day operation of the NDC will be administered, coordinated and overseen by
343	staff experienced in the declassification process, and in the archival principles needed to
344	process and manage temporary and permanent records. Agencies participating in the
345	NDC will work with NARA to establish the policies and procedures that govern NDC
346	work processes. The NDC will be managed by the NDC Director (see Chart B-1), with
347	the assistance of a Deputy Director, NARA Program Staff, and guidance from the NDC
348	Policy Planning Group.

B-1: NDC Management

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                        ┌──────────────────────┐        ┌─────────────────┐
                        │     NDC Director      │────────│   NDC Policy    │
                        └──────────────────────┘        │ Planning Group  │
                                   │                     └─────────────────┘
                        ┌──────────────────────────┐
                        │ NDC Deputy Director       │
                        │   (Agency Detail)         │
                        └──────────────────────────┘
                                   │
   ┌──────────────────────┐        │
   │  NARA Program Staff   │────────┤
   └──────────────────────┘        │
          ┌──────────────────────────┐        ┌──────────────────────────────┐
          │ Director of Archival     │        │ Director of Record Storage    │
          │ Operations               │        │ Services                       │
          └──────────────────────────┘        └──────────────────────────────┘
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1) **NDC Director** – The Director of the NDC will be an SES position hired by NARA, and will have extensive experience with government declassification practices, and working with agencies to support the declassification process. The Director will be responsible for the daily operation of the NDC.

2) **Deputy NDC Director** – Will facilitate agency liaison duties and ensure agencies are represented in the implementation of NDC policy. This position will be nominated by a participating agency's Senior Agency Official for Declassification, and will be approved by the NDC Director and the Policy Planning Group. The candidate should have extensive experience working in the declassification and security fields. The approved candidate will be detailed for at least one year to ensure the Deputy has sufficient input into the NDC, but no more than three years to ensure all agencies have equal opportunity for representation in the NDC management.

3) **NARA Program Staff** – Will include representatives from NARA program offices that provide program guidance for specific functions in the NDC. Positions include a Security Manager, Information Systems Security Officer (ISSO), IT Systems Administrator , Administrative Officer, Facility Manager, Instructional Design Specialist, Presidential Records Coordinator and Preservation Conservator (see Appendix B). This staff will work with the Director and Deputy Director to support the day-to-day operation of the NDC.

4) **Director of Archival Operations (DAO)** – Will oversee day-to-day archival operations in the NDC, direct NDC staff participation in declassification programs and coordinate declassification review with agency reviewers assigned to the NDC.

5) **Records Storage Manager** – Manages the storage and services related to the storage of temporary, pre-archival and archival records in the NDC. Plans and

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382 directs storage policies, and provides leadership and supervision to staff. The
383 Manager is responsible for all aspects of records storage in the NDC.
384

385 6) **NDC Interagency Policy Planning Group** – Will set NDC priorities, approve
386 the annual NDC work plan, develop standard declassification guidance,
387 approve NDC policy/procedures and resolve issues which may occur in the
388 NDC. The group will be chaired by the Director of ISOO, and will be made up
389 of senior managers appointed by the Senior Agency Officials, as designated in
390 section 5.4(d) of EO 12958, from DOE, DOD, DNI, State, NARA and NSC.
391 Additional agencies will be invited to participate in the group as necessary to
392 meet the NDC goals. The NDC Director will act as the Executive Secretary,
393 and provide staff to support the group (see Chart B-2).
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Chart B-2: NDC Interagency Policy Planning Group
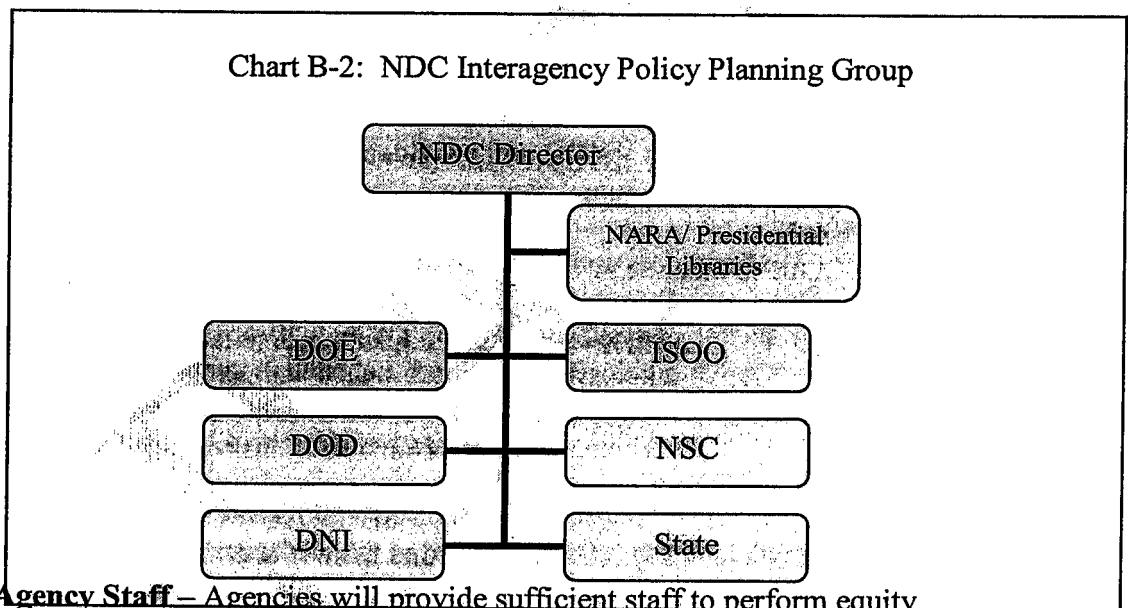
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397
398 7) **Agency Staff** – Agencies will provide sufficient staff to perform equity
399 recognition, declassification review, and participate in the development
400 training and guidance. Agency staffing levels may vary over time depending
401 on changes in work load.
402

403 E. **NDC Functions** – The NDC will provide secure, high-quality, cost-effective storage
404 and servicing of records for our Federal Customers to support their storage needs and
405 declassification obligations.
406

407 1) Classified Record Storage – The NDC will provide agencies with records
408 storage and support services for classified temporary and pre-accessioned
409 records, and include the following services:
410 a) Storage for classified holdings up through the TS/SCI level, that will
411 be designed to mitigate any preservation risks to the records.
412 b) Transfer of records – Using information from approved *Requests for*
413 *Records Disposition Authority* (SF-115) the NDC staff will work

414	with agencies to transfer classified holdings for storage and future
415	declassification processing.
416	c) Reference – The NDC staff will retrieve records requested by
417	agencies, and transport the records to the customer.
418	d) Re-file – The NDC staff will receive records returned from agencies
419	and replace them in the appropriate location.
420	e) Interfile – The NDC staff will add additional boxes to a transfer if an
421	agency adds additional records to a file.
422	f) Disposal - After a transfer reaches the end of its active life as
423	outlined in the NARA approved records schedule, then the transfer is
424	identified for either accessioning to NARA in the case of permanent
425	records or for destruction according to the records schedule and all
426	regulations for the proper disposal of classified records. NDC staff
427	will work with customer agencies to ensure that all permanent
428	records are accessioned and temporary records are scheduled for
429	disposal.
430	
431	2) Archival Functions – NDC will provide records management and preservation
432	for classified accessioned permanent records, and include the following
433	services:
434	a) Pre-Accessioning Activities
435	• Prioritization – NDC staff will work with NARA units and the
436	agencies to develop a plan to prioritize review and processing
437	of classified Federal, Legislative and Presidential records.
438	o Records identified as being of significant scholarly or
439	high research interest will be prioritized at the highest
440	level.
441	o Records of general research interest will be
442	prioritized at a lower level.
443	• Appraisal – NDC staff will facilitate work by the agencies and
444	appraisal archivists to ensure all records in storage are
445	appraised and scheduled. Agencies will:
446	o Work with NARA to prepare accession paperwork.
447	o Verify permanent status holdings.
448	o Identify all access restrictions in permanent records.
449	o Inform NARA of all existing series descriptions or
450	finding aids
451	• Series identification and verification – NDC staff archivists
452	will identify permanent series, and verify all associated
453	accessioning paperwork.
454	• Preservation – NDC staff will work with NARA conservators
455	to mitigate preservation risks, complete preservation risk
456	assessments and identify urgent or critical preservation issues.
457	
458	b) Declassification Review of Agency and Accessioned records

- Initial Declassification Review of agency records (under sections 3.3 [automatic] and 3.4 [systematic] of EO 12958)
  - o Will be performed by agencies on their records in the NDC prior to accessioning (based on established interagency and NDC priorities)
  - o NDC will develop a classified NDC system (similar to NARA's Archival Declassification Redaction and Review System - ADRRES) to track the declassification process and all review decisions.
  - o The NDC will employ clerical staff to assist NARA and agencies with document indexing and data input.
  - o The existing interagency Quality Assurance Review Team (QART) will examine records for review quality.
    - Record series that "fail" the process will be returned to the agency for a follow-up review (using the NARA QART model)
    - Record series that "pass" the QA process will continue to the referral process.
- Declassification Review of legacy records not reviewed prior to accessioning.
  - o NARA and agencies will use the NDC developed system to track the declassification process and all review decisions.
- Agencies will complete initial declassification review (based on established agency and NDC priorities)
  - o Reviewed records will go through the QA and referral process as described above.
  - o The 400 million pages of legacy records that have been reviewed by agencies will proceed through the QA and referral processes as previously described.

c) Interagency Referral Process
- NDC staff will process records through the referral center based on prioritization plan
  - o Based on the Interagency Referral Center (IRC) model established by NARA.
  - o In coordination with annual processing work plans.
- Agencies will be notified of existing referrals through electronic queues or alternative methods.
- NDC staff will be responsible for the reintegration process once all referral have been adjudicated.
  - o Removing and securing all classified records.
  - o Transferring declassified records to open stacks at NARA (Archives II) for public access.

13

d) Declassification and Referral Process for Presidential papers, materials, and records.
- Through the RAC project, NARA will digitally scan all classified 25 year old documents held by Presidential Libraries and make these images available for review at the CIA review center and via terminals at the NDC.
- Agencies will be notified through the RAC project of any primary and secondary referrals.
- Declassification review decisions will be captured in the RAC system and transmitted to the CIA review center, which will return the images marked with declassification decisions to the appropriate Presidential Library for processing and release.

e) MDR/FOIA/RAC
- For Federal records, the NDC will have staff to process classified FOIA and MDR requests for accessioned archival holdings. If agency declassification reviewers onsite are not approved to conduct FOIA/MDR review, the NDC will perform the following functions:
  o Copying and referring documents to the appropriate agency FOIA/MDR programs for review and redaction.
  o Processing agency responses to FOIA/MDR referrals for public release.
  o Use the classified NDC system to perform redactions required based on agency reviews.
  o Logged and tracking all requests in the classified NDC system.
- For scanned Presidential papers, materials and records, the RAC Project will support the referral process for classified FOIA and MDR requests.
  o Equity holding agencies will be provided with digital copies of the materials for review.
  o Review decisions will be returned to the appropriate Presidential Library for processing and release.
- Future Functionality – NARA and the agencies do not currently have compatible FOIA/MDR systems. Most agencies have electronic FOIA/MDR redaction and tracking systems, but are not currently working toward making these systems compatible throughout the government. To improve this process the NDC will work toward automating the FOIA/MDR process and making it easier for agency FOIA/MDR reviewers to review their documents remotely. To achieve this goal, the NDC will:
  o Develop a process for coordinating documents with agencies using scanned images instead of photocopies.

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- o Use the RAC system as a model to develop (through an R&D process) a secure FOIA/MDR review system that is accessible through the NDC.

f) Quality Review, Training and Guidance
- Quality Review – The NDC will have a QA program in place to ensure all declassification review meets established standards.
    - o The QA program will be based on the QART established by NARA under the NDI.
    - o The team will consist of:
        - Experienced senior reviewers from the agencies performing declassification review at the NDC.
        - Other reviewers who are consulted as needed based on subject matter.
    - o The QA team will review all records for quality of review and resolve any issues that arise as a result.
- Training – The NDC will have a full-time Instructional Design Specialist to develop a detailed training program for declassification reviewers. This program will:
    - o Ensure all reviewers have access to the same training on declassification policies and procedures. The NDC training staff will work with individual agencies to ensure reviewers are trained on relevant subject matter and equities.
    - o Build on practices established by the existing interagency training committee.
    - o Establish a government-recognized certification for declassification reviewers. Certification will include:
        - General equity recognition training for first reviewers.
        - Advanced training that will lead to:
            - o Expert certification for specific subject areas
            - o Certification for senior reviewers
    - o The training staff will develop training that can be delivered:
        - In-person as hands on-training.
        - Remotely through DVDs or as web-based training.
    - o This will be a collaborative effort, but does not change the fact that individual agencies have control over who is authorized to declassify their equities.
        - The training staff will work with agencies to create certification training that meets their needs.

597	• Guidance – The NDC will establish a library of declassification
598	guidance and reference materials that can be accessed at the
599	NDC.
600	o The guides will be maintained on an intranet in the
601	NDC, and will be based on the Declassification
602	Guide Web Application (DGWA) system that NARA
603	is currently developing.
604	o The intranet will provide a single, easily accessible
605	location to store Interagency Security Classification
606	Appeals Panel (ISCAP)-approved declassification
607	guidance. The NDC staff will work with agencies
608	and ISOO to ensure guidance on the intranet is
609	current.
610	o The NDC staff, agencies and ISOO will cooperate to
611	standardize declassification guides throughout the
612	government.
613	o Agencies will have the ability to restrict, or control
614	access to their guidance stored at the NDC.
615	
616	g) Archival Processing of Federal Records
617	• Space management – The NDC staff will manage records
618	storage through the use of classified systems with functionality
619	similar to the Archives and Record Center Information System
620	(ARCIS) and Holdings Management System (HMS).
621	• Accessioning – The NDC staff will coordinate the transfer and
622	accessioning of records regardless of format between the
623	agencies and NARA.
624	• Withdrawal and reintegration – The NDC staff will withdraw
625	and reintegrate withdrawn records based on the procedures set in
626	the declassification process.
627	• Description – The NDC staff will work with NARA reference
628	and processing units to create or update finding aids and
629	Archival Research Catalog (ARC) descriptions as necessary.
630	h) Preservation – The NDC staff will coordinate with NARA
631	Preservation Programs to implement the following preservation
632	functions at the NDC:
633	• Assessment of preservation risks
634	• Mitigation of preservation risks through use of preventive
635	preservation strategies
636	• Preservation training
637	• Conservation and preservation and access reformatting of at
638	risk textual and non-textual records
639	• Declassification of Classified Special Media (CSM) will be
640	supported by providing the following:
641	o Reformatting of analog media to digital surrogates for
642	review and preservation.

643   o Equipment and labs required for preservation,

644   reformatting and playback of CSM.

645   o Staff to perform reformatting and redaction of CSM,

646   and to assist reviewers.

647   • IT infrastructure required to storage, preservation and

648   reformatting for a CSM system.

649

650   **F. IT Infrastructure and Applications**

651

652   IT Infrastructure

653

654   Users at the NDC and will require IT and office equipment to support access to multiple
655   classified and unclassified networks. User access will be controlled based on security
656   levels and standalone secure systems/networks will be segregated in separately controlled
657   or compartmented secure areas, as deemed necessary. The networks storage, bandwidth
658   and connectivity will be sufficient to support all NDC business functions and automated
659   systems.

660

661   The NDC will offer users unclassified communications, such as Telephone and Fax, and
662   classified communications such as STE telephones and classified Fax equipment. The
663   NDC will have both unclassified and classified secure video-conferencing facilities. At
664   the desktop, users will have PCs with access to office automation applications and secure
665   access to shared, and agency-specific internal Web pages. Access and content of agency-
666   specific spaces will be controlled by each agency with support from the NDC IT staff.
667   Shared space will be moderated by the NDC staff, and accessible to all users for the
668   sharing of information and declassification guidance with the entire NDC community.

669

670   To facilitate access requirements, the NDC may provide access to multiple physically
671   separate networks and systems as determined by stakeholder requirements.   Specifically,
672   the NDC will provide access to outside agency/stakeholders classified networks such as
673   Secret Internet Protocol Router Network (SIPRNet), Joint Worldwide Intelligence
674   Communications System (JWICS) and any other networks as deemed necessary to
675   accomplish declassification work.

676

677   All NDC stakeholders will adhere to the information assurance guidelines established in
678   NARA Directive 804, and IT systems will be operated according to the policies in
679   NARA's IT Security Architecture.

680

681

682   IT Applications

683

684   While the NDC functions and business processes identified in Section E need to be fully
685   developed and documented, there is core functionality that needs to be supported through
686   the use of IT. The requirements, design, development and deployment of all NDC IT
687   Systems will be conducted according to NARA Directive 805, the System Development
688   Lifecycle.

689
690 Business processes will be analyzed and documented and determinations will be made as
691 to the best strategies for both manual and automated processes. As the business
692 processes are more defined determinations will be made as to the levels of classification
693 that will be required for each system. Alternatives studies will be done to evaluate
694 functionality of current systems that may support the NDC versus new development. All
695 new development will ensure that systems are secure, flexible and extensible.
696 Core IT functionality includes:
697

698 • Automated tracking, monitoring and of unclassified and classified material at the
699   record level for all types of media to ensure accurate inventory tracking and
700   accountability. This includes the tracking of :
701

702   1. Holdings within the NDC
703   2. Records that are transferred to the NDC by agencies
704   3. Records that are transferred from the NDC back to agencies
705   4. Declassified records transferred to open NARA research facilities
706

707 • Automated tracking and recording of declassification decisions to ensure records
708   are reviewed by all appropriate equity holders and prevent the inadvertent release
709   of classified information.
710

711 • Automated review and redaction capabilities for both large volumes of records
712   and complex data formats with flexibility for expansion to support increasing
713   number of declassification requests while ensuring timely release of materials.
714

715 • A Web-based Declassification Guide to provide one central reference location for
716   users to access and reference all available declassification information. Available
717   information is user-dependent and may consist of declassification guides, general
718   declassification material, as well as shared knowledge among users and subject
719   matter experts (e.g. Question and Responses postings).
720

721 • Collaboration tools to support equity holders in the decision making process.
722

723 • Workflow to support:
724

725   1. Systematic review
726   2. Declassification decisions
727   3. Referral review
728   4. FOIA/MDR processing
729   5. IRC functions
730

731 • Support the Declassification of CSM including equipment and laboratory
732   environment required for preservation, reformatting, and playback of CSM
733   including the capabilities for the transfer of analog media to digital formats.
734

735 • Interface to ERA (now in development) or have functions similar to ERA to
736   support the long-term preservation and migration of classified digital media and
737   formats.
738
739 **G. Summary and Recommendations**
740
741 Improving the declassification process has broad bi-partisan support in the government,
742 and high interest in the public sector. Based on the problems identified under the current
743 NDI process, declassification processes must be overhauled to meet the requirements
744 established in EO 12958. The most efficient and effective way to address these problems
745 is through the establishment of an NDC. NARA took the first step in this process by
746 creating the NDI and is prepared to establish the NDC as recommended by the Moynihan
747 Commission and the PIDB.
748
749 The CONOPS provides a high level overview of the staffing and functions of an NDC. It
750 does not however address a few specific issues that must be resolved before an NDC can
751 be established. The following issues were discussed, but not addressed in the CONOPS:
752
753 1) It is clear that NARA can only support certain aspects of the NDC at the facility
754   in College Park facility. A new facility which will support all functions of an
755   NDC must be built. The next steps in this process will include locating an
756   appropriate site, and designing a building that will meet all storage, preservation
757   and security requirements of the NDC.
758
759 2) The declassification process as it currently exists is flawed. Despite being
760   reviewed by originating agencies as required under EO 12958, declassification
761   referral and processing backlogs exist, and declassified records are not publicly
762   available as intended. A detailed business process re-engineering project (BPR)
763   needs to be undertaken to improve the NDI processes that will become the NDC.
764   This process should include NARA staff working on the NDI, agencies involved
765   in the NDC declassification process, and contractors skilled at facilitating BPR
766   projects.
767
768 3) This NDC is a new and unique program. This is a true interagency cooperative
769   process and will require resources and support from all participants. An
770   interagency policy planning group needs to be established to address roadblocks
771   in the existing process and develop plans to ensure the NDC meets the
772   requirements of all participants, the public, and the EO. NARA will be working
773   with group to develop a plan that outlines the support required from participating
774   agencies.
775
776 4) In their report, the PIDB expressed concern that declassification review and
777   preservation of classified special media and electronic records is not being
778   adequately addressed by agencies. Each year the volume of records created in
779   electronic formats and the risk for loss of information due to obsolete media is
780   increasing. The NDC Director should work with agencies, electronic records

781   experts and NARA's Lifecycle Management Division records management staffs
782   to determine an accurate volume of classified electronic records, and establish a
783   plan for preserving and declassifying these records.
784
785   5) Beyond the automatic declassification provisions of EO 12958, the processing of
786   FOIA and MDR requests is a complex and costly process. The NDC should look
787   toward the future to develop a method of streamlining or improving the referral
788   process. These improvements would allow appropriate agency reviewers to
789   review, redact and refer documents in one centralized system. A process for
790   researching and leveraging new technologies should be established in the NDC.
791
792   A National Declassification Center is the best hope for meeting the expectations of the
793   public, access goals of the President, and as then-Senator Obama stated, restoring "the
794   balance we've lost between the necessarily secret and the necessity of openness in a
795   democratic society".[5]
796

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[5] Senator Barak Obama. "*A New Beginning*". DePaul University, October 2007.

797 *APPENDIX A: DEFINITION OF TERMS*

798

799 <u>Access</u> – The ability or opportunity to gain knowledge of classified information.

800

801 <u>Agency</u> – Any "Executive agency," as defined in 5 U.S.C. 105; any "Military

802 department" as defined in 5 U.S.C. 102; and any other entity within the executive branch

803 that comes into the possession of classified information.

804

805 <u>Accessioning</u> – The process of transferring legal custody of records from the originating

806 agency to NARA.

807

808 **<u>ADRRES (Archival Declassification Redaction and Review System)</u>** – A system used

809 by NARA to index exempted materials, track declassification decisions and projects,

810 maintain a FOIA/MDR log, and perform redaction of textual records. This system was

811 developed by CACI and is based on their *HighView* software.

812

813 **<u>ARC (Archival Research Catalog)</u>** –The online catalog of NARA's nationwide holdings

814 in the Washington, DC area, Regional Archives and Presidential Libraries.

815

816 **<u>ARCIS (Archives and Records Centers Information System)</u>** – A web-based system

817 being deployed by the Federal Records Centers (FRCs) of the National Archives and

818 Records Administration to serve as the portal through which all agencies will conduct

819 online transactions with the FRCs. The system allows agencies to document and monitor

820 transactions electronically, giving instant access to information about their records.

821

822 **<u>CSM (Classified Special Media)</u>** – Classified records in formats, such as dynamic media

823 (audio, video and motion picture) or still images. NARA is constructing a system that

824 will reformat, digitize and preserve these formats. The system will have review

825 workstations for declassification review by authorized reviewers, and redaction stations

826 for use by lab specialists.

827

828 **<u>DAO (Director of Archival Operations)</u>** – The person in the NDC who manages day to

829 day operation of functions related to declassification and archival processing.

830

831 **<u>Declassification</u>** – The authorized change in the status of information from classified

832 information to unclassified information.

833

834 **<u>Declassification Authority</u>** means:

835   (1) the official who authorized the original classification, if that official is still

836   serving in the same position;

837   (2) the originator's current successor in function;

838   (3) a supervisory official of either; or

839   (4) officials delegated declassification authority in writing by the agency head or

840   the senior agency official.

841

842   **Declassification guide** – Written instructions issued by a declassification authority that
843   describes the elements of information regarding a specific subject that may be
844   declassified and the elements that must remain classified.
845

846   **DGWA (Declassification Guide Web Application)** – An online application in the
847   ADRRES network, built to provide one central reference location for Users to access
848   shared declassification guidance and information.
849

850   **Equity** – Information that originated from agencies other than the creating agency, or the
851   disclosure of which would affect the interests or activities of other agencies. These
852   documents shall be referred for review to those agencies and the information of concern
853   shall be subject to automatic declassification only by those agencies, consistent with the
854   provisions of section 3.3 of EO 12958.
855

856   **ERA (Electronic Records Archives)** – The NARA strategic initiative to preserve and
857   provide long-term access to uniquely valuable electronic records of the U.S. Government,
858   and to transition government-wide management of the lifecycle of all records into the
859   realm of e-government.
860

861   **Federal Records** – A include all books, papers, maps, photographs, machine readable
862   materials, or other documentary materials, regardless of physical form or characteristics,
863   made or received by any executive agency or any establishment in the legislative or
864   judicial branch of the Government (except the Supreme Court, Senate, the House of
865   Representatives, and the Architect of the Capitol and any activities under his direction) of
866   the United States Government under Federal law or in connection with the transaction of
867   public business and preserved or appropriate for preservation by that agency or its
868   legitimate successor as evidence of the organization, functions, policies, decisions,
869   procedures, operations or other activities of the Government or because of the
870   informational value of the data in them. The framework for Federal records management
871   is established in the Federal Records Act (44 U.S.C. 3301).
872

873   **FOIA (Freedom of Information Act)** – An access law (5 U.S.C. § 552) which gives the
874   public the right and ability to request access to records of the Federal government that are
875   not publicly available.
876

877   **HMS (Holding Management System)** – A system being deployed by NARA to track
878   and provide information about accessioned permanent records.
879

880   **ISCAP (Interagency Security Classification Appeals Panel)** – A Panel created under
881   Executive Order 12958, "Classified National Security Information," to provide the public
882   and users of the classification system with a forum for further review of classification
883   decisions. The ISCAP is a six member body consisting of senior level representatives
884   appointed by the Departments of State, Defense, and Justice, the Central Intelligence
885   Agency, the National Archives, and the Assistant to the President for National Security
886   Affairs. The President appoints the ISCAP's Chair from among its members, and the
887   Director of ISOO serves as its Executive Secretary. ISCAP is the final appeal authority

888   for decisions made under the Mandatory Review Provision of the EO, and is the approval
889   authority for agency declassification guides.

890   **ISOO (Information Security Oversight Office)** – A component of the National
891   Archives and Records Administration (NARA) that is responsible to the President for
892   policy and oversight of the Government-wide security classification system and the
893   National Industrial Security Program. ISOO receives policy and program guidance from
894   the National Security Council (NSC), and receives authority from: Executive Order
895   12958, as amended "Classified National Security Information", and Executive Order
896   12829, as amended "National Industrial Security Program".

897   **IT Infrastructure (Information Technology Infrastructure)** – A general term to
898   encompass all information technology assets (hardware, software, data) and networks,
899   including internal and external networks required to operate the NDC,
900   telecommunications, IT components, systems, applications, and resources.
901

902   **IRC (Interagency Referral Center)** – A program developed by NARA to bring
903   agencies to one central location to adjudicate all referrals identified in during the
904   declassification process. NARA supports this process by working with agencies to
905   complete the identification of referrals, notify agencies that referrals have been made, and
906   completing the process to make declassified records available to the public.
907

908   **ISPM (Information Security Program Manager)** – An individual and alternate(s)
909   appointed to act on behalf of the NARA Information Security Officer, who manages the
910   overall classified information security program in NARA, in providing assistance, advice
911   and training to component personnel and to implement the classified information security
912   program at their location.
913

914   **ISSO (Information Systems Security Officer)** – Individual designated with the
915   responsibility to ensure that the appropriate operational security posture is maintained for
916   an information system. The ISSO works with the NARA CISSO in cooperation with the
917   cognizant ISPM and the NARA ISO to ensure IT system compliance with NARA
918   classified information security program policies.
919

920   **MDR (Mandatory Declassification Review)** – The review for declassification of
921   classified information in response to a request for declassification that meets the
922   requirements under section 3.5 of EO 12958.
923

924   **NDC (National Declassification Center)** – A consolidated, interagency program to
925   improve the declassification process. The NDC will be a centralized physical location
926   where all agencies could conduct declassification review of their records, and review
927   their equities in the records of other agencies.
928

929   **NDI (National Declassification Initiative)** – A NARA program, with interagency
930   participation, to facilitate declassification and referral under EO 12958. This program
931   supports agency review of classified records and referrals in NARA holdings. NARA

932   also established a quality assurance program, declassification training, and an automated
933   system to support the process.
934

935   **Physical Storage** – A physical location to safely store records regardless of media type.
936   Storage at the NDC would include all media types and national security classification
937   levels.
938

939   **PIDB (Public Interest Declassification Board)** – An advisory group, created by Public
940   Law 106-567, to advise the President and other executive branch officials as the Board
941   considers appropriate on the systematic, thorough, coordinated, and comprehensive
942   identification, collection, review for declassification, and release to Congress, interested
943   agencies, and the public of declassified records and materials (including donated
944   historical materials) that are of archival value, including records and materials of
945   extraordinary public interest.
946

947   **Presidential Papers, Materials and Records** – Presidential collections governed by
948   statutory authorities including Presidential Papers that were deeded and received under
949   44 U.S.C. 2111(Hoover – Carter administrations excluding Nixon); the Presidential
950   Recordings and Material Preservation Act, 44 U.S.C. 2111 note (Nixon administration);
951   and the Presidential Records Act, 44 U.S.C. 2201-2207 (Reagan administration forward).
952

953   **QA or Quality Assurance** – The process of verifying or determining whether products
954   or services meet expectations. In the NDI this refers to process of performing a review of
955   a completed project to ensure the original review correctly identified third party equities.
956

957   **QART (Quality Assurance Review Team)** – Is a team established by NARA to perform
958   a quality assurance review of agency declassification decisions. This is an interagency
959   group that reviews completed declassification project to ensure all classified information
960   is identified and all equity agencies were identified.
961

962   **RAC (Remote Archives Capture)** – A program established by NARA and the CIA.
963   The program involves scanning of classified documents in the Presidential Libraries, and
964   returns the images to the DC area, where they are reviewed by agencies in a classified
965   review system to identify and redact classified information. Declassified and redacted
966   images are returned to the libraries for release to the public.
967

968   **Records** – The records of an agency and Presidential papers or Presidential records, as
969   those terms are defined in Title 44, United States Code, including those created or
970   maintained by a government contractor, licensee, certificate holder, or grantee that are
971   subject to the sponsoring agency's control under the terms of the contract, license,
972   certificate, or grant. Records having "permanent historical value" means Presidential
973   papers or Presidential records and the records of an agency that the Archivist has
974   determined should be maintained permanently in accordance with Title 44, United States
975   Code.
976

977 **Record Series** – A group of similar records that are arranged according to a filing system
978 and that are related as the result of being created, received, or used in the same activity.
979
980 **Reference** – Refers to the process of locating, retrieving and delivering requested records
981 to a customer.
982
983 **Re-file** – The process of replacing records in the appropriate locations for future
984 reference.
985
986 **Referrals** – Records containing information that originated with other agencies or the
987 disclosure of which would affect the interests or activities of other agencies shall be
988 referred for review to those agencies and the information of concern shall be subject to
989 automatic declassification only by those agencies, consistent with the provisions of EO
990 12958. When an agency receives any request for documents in its custody that contain
991 information that was originally classified by another agency, or comes across such
992 documents in the process of the automatic declassification or systematic review
993 provisions of this order, it shall refer copies of any request and the pertinent documents to
994 the originating agency for processing, and may, after consultation with the originating
995 agency, inform any requester of the referral unless such association is itself classified
996 under EO 12958 or its predecessors.
997
998 **Security** – The physical protection of the building, IT systems and records.
999 Requirements are based on Director of Central Intelligence Directive Category 6 -
1000 Security (DCID 6), DOD National Industrial Security Program Operating Manual
1001 (NISPOM) and NARA Information Security 202 standards.
1002
1003 **SCI (Sensitive Compartmented Information)** – Information and materials bearing
1004 special intelligence community controls. Information in this category requires special
1005 handling, storage and protection.
1006
1007 **SCIF (Sensitive Compartmented Information Facility)** – This refers to a vault that is
1008 authorized to store SCI information.
1009
1010 **Senior Agency Official** – The official designated by the agency head under section
1011 5.4(d) of EO 12958 to direct and administer the agency's program under which
1012 information is classified, safeguarded, and declassified.
1013
1014 **Special Media Records** – Records in formats that require equipment to review and may
1015 require equipment for preservation reformatting prior to use. This include audio, video,
1016 motion picture, some photographic negatives and other special format materials.
1017
1018 **Transfer of Records** – This terms has two definitions within the NDC:
1019 • The process of physically moving records from an agency to be stored in a record
1020   center, until final disposition is implemented.
1021 • The physical and legal transfer of records from the originating agency to the NARA
1022   (see accessioning).

1023
1024   **TS (Top Secret)** – One of the three approved categories of classified information.
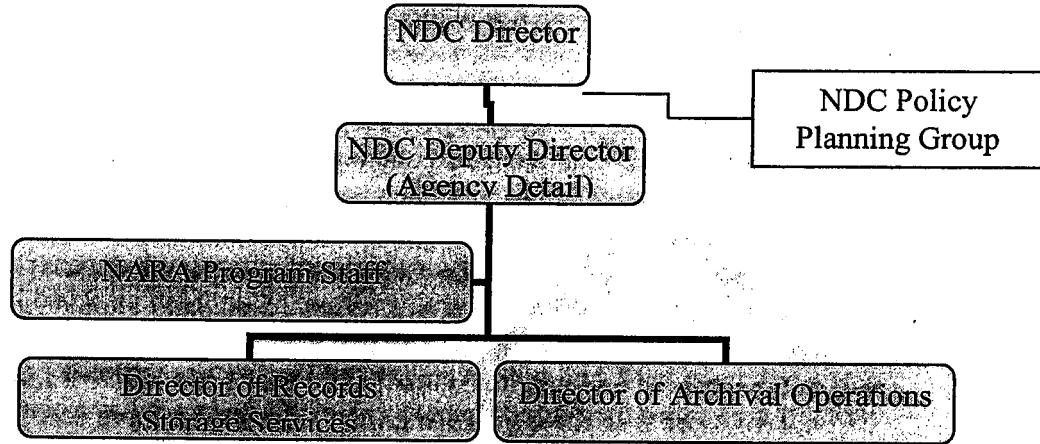1025   Confidential and secret are the remaining categories.
1026
1027   **Work Space** – Office and processing areas for NARA and agency staffs.
1028

Appendix B: Staffing

NDC Management Chart

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1) **NDC Director** – The Director of the NDC will be an SES position hired by NARA, and will have extensive experience with government declassification practices, and working with agencies to support the declassification process. The Director will be responsible for the daily operation of the NDC. Responsibilities include:

1038
1039
1040

   • Ensuring Physical, IT and Personnel security meets standards, including, but not limited to DCID 6/9 (or ICD 705), DCID 6/3, ICD 704, NARA Directive 202 and NARA Directive 273.

1041
1042

   • Supervising NDC Administrative staff, Director of Archival Operations and Director of Records Storage Services.

1043
1044
1045

   • Coordinating with NARA program staffs on NARA wide issues related to preservation, reference, storage, record transfers, appraisal, and accessioning.

1046
1047

   • Acting as the liaison with senior management of agencies participating in NDC on declassification processes, prioritization, training and guidance.

1048
1049

   • Acting as liaison with outside advocates (PIDB, historical groups, etc.) on prioritization and NDC operations.

1050
1051

   • Working with agencies to develop and implement a comprehensive NDC work plan.

1052
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1054
1055

   • Reporting on the NDC status and progress to:
     o NARA
     o ISOO
     o Agencies

1056

   • Developing and providing oversight of the annual NDC budget

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- Working with the Policy Planning Group to develop and implement standard policies, procedures, training and declassification guidance.
- Generating statistical reporting as required by:
  - o NARA
  - o Congress
  - o Executive Office of the President
  - o Federal Oversight agencies (OMB, DOJ, ISOO, etc.)

2) **Deputy NDC Director** – The Deputy facilitates liaison activities between agencies and the NDC, and ensures agencies are represented in the implementation of NDC policy. This position will be a detail from one of the agencies participating in the NDC. The incumbent will be nominated by an agency's Senior Agency Official for Declassification, and approved by the NDC Director and the Policy Planning Group. Candidates should have extensive experience working in the declassification and security fields. The detail will be at least one year to ensure the Deputy has sufficient input into the NDC, but no more than three years to ensure all agencies have equal opportunity for representation in the NDC management. The Deputy NDC Director will:

- Assist the Director with oversight of:
  - o Physical security
  - o IT systems
  - o Facilities issues
  - o Annual budget
- Act as the primary advocate for all agencies participating in the NDC.
- Represent the Director and the NDC when necessary.
- Work with the Director to implement NDC policy and procedures.

3) **NARA Program Staff** – The staff consists of security, IT, facilities, preservation and administrative personnel that provide NARA program guidance and support the operation of the NDC (see chart B-2).
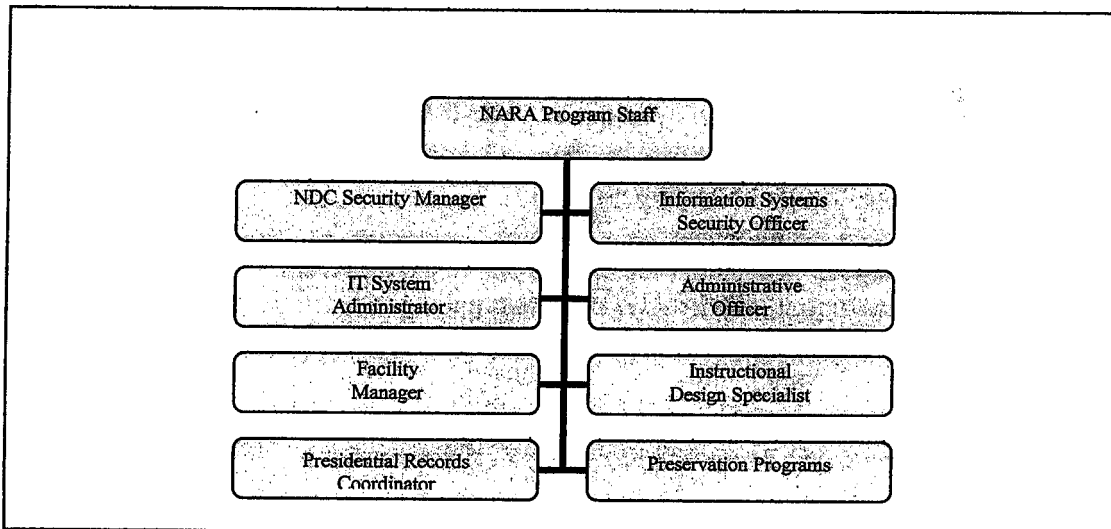
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28

a) The **NDC Security Manager**'s primary responsibilities will be:
- Coordinating the security program with NARA's Security Management Division and agency security offices.
- Managing NDC security staff working on physical, personnel and information security.
- Ensuring physical security meets Intelligence Community standards.
- Developing standard operating procedures (SOP) that address information security requirements specific to the NDC.
- Managing contracts related to security services at the NDC.
- Creating, submitting and resolving reports of security incidents.
- Serving as the COMSEC custodian for the NDC to set up and maintain secure communications equipment.
- Working with NARA and the agencies to create and implement security inspection and Continuity of Operations Plans (COOP) programs.
- Acting as the primary Information Security Program Manager (ISPM) for the NDC, and administering procedures for the control and protection of classified information.

b) The **Information Systems Security Officer**'s (ISSO) primary responsibilities will be to:
- Ensure that all requirements and security plans prescribed by the NARA IT Security Program are appropriately implemented.
- Ensure the completion, maintenance and testing of all System Contingency Plans.
- Manage the accounts of authorized users.
- Enforce IT security policies, standards and procedures on all personnel having access to system for which the ISSO is responsible.
- Ensure that audit trails are reviewed periodically (e.g., daily, or weekly) and that audit records are archived for future reference.
- Report security incidents in accordance with NARA policy and standards to the System Owner, and/or NARA Computer Security Incident Response Center (CSIRC) as appropriate.
- Serve on the Configuration Control Board (CCB). Evaluate the impact of changes on the security posture of the IT system and provide the report to the CCB.

c) The **IT System Administrator**'s primary responsibilities will be to:
- Establish and maintain classified and unclassified IT systems that support the NDC.
- Coordinate IT issues with participating agencies.
- Provide oversight on system integrity and security issues.
- Coordinate and oversee research and development of IT technologies to improve the function of the NDC.

1136
1137   d) The **Administrative Officer**'s primary responsibilities will be to:
1138   • Implement and oversee the NDC budget.
1139   • Coordinate administrative issues with NARA and participating
1140   agencies.
1141   • Assist Director implementing NDC policy and practices.
1142   • Be the facility coordinator for all NARA time and attendance
1143   functions.
1144   • Coordinate all purchasing activities for the NDC.
1145   • Manage all contracts for building amenities.
1146
1147   e) The **Facility Manager**'s primary responsibilities will be to:
1148   • Ensure NDC building meets all preservation standards established
1149   by NARA for record center and archival facilities.
1150   • Manage all contracts related to maintenance and repairs for the NDC
1151   (or coordinates facilities issues with building manager for leasing
1152   company).
1153   • Establish and implement preventive maintenance and building
1154   inspection programs.
1155   • Creates and implements building specific emergency procedures and
1156   coordinates all plans with the COOP program.
1157   • Direct all contracts for building amenities.
1158   • Is responsible for the property management program.
1159
1160   f) The **Instructional Design Specialist**'s primary responsibilities will be
1161   to:
1162   • Develop, establish and deliver a comprehensive interagency
1163   declassification reviewer training curriculum.
1164   • Work with agencies to ensure the curriculum is up to date.
1165   • Work with the IT staff to develop current and effective ways to
1166   provide training that will reach all declassification reviewers.
1167   • Work with agencies to develop and schedule equity identification
1168   training for all declassification reviewers.
1169   • Work with agencies to ensure the curriculum is maintained and is
1170   current with agency policies and procedures.
1171   • Work with the agencies to develop standard declassification
1172   guidance.
1173   • Manage a staff of training specialists.
1174
1175   g) The **Presidential Records Coordinator** will serve as the liaison
1176   between the Presidential Libraries, the RAC program, and agency
1177   reviewers accessing documents through the RAC Project and
1178   conducting declassification review of scanned Library documents
1179   requested under FOIA/MDR.
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h) The **Preservation Programs** at NARA will be responsible for managing preservation risk assessment programs, providing guidance on preservation issues, oversight of preservation actions and reformatting, performing preservation actions on at risk records, and establishing records emergency and recovery procedures. A Preservation Programs Officer will be designated as responsible for preservation functions at the NDC.

4) **Agency Staff** – Agencies participating in the NDC will:
   - Perform declassification review of their agency's records in the NDC prior to accessioning into NARA.
   - Perform declassification review of legacy textual and special media records in NARA custody.
   - Input metadata on exempted/referred materials identified during the review process, or support NDC staff performing data entry.
   - Provide staff to review records in the referral center.
   - Provide reviewers for special projects that can most efficiently be accomplished by collaborative agency effort.
   - Provide equity recognition training for all reviewers participating in the NDC.
   - Ensure their agency's declassification guides in the NDC are up to date.
   - Provide reviewers for the Quality Assurance program.
   - Work with Directors of Archival and Record Records Storage Services to address records management issues.
   - Assist the NDC staff to establish detailed equity recognition training programs.

5) **Archival Operations Staff** – NARA archival staff will be organized as shown in chart B-4, and will perform the following declassification and archival functions:
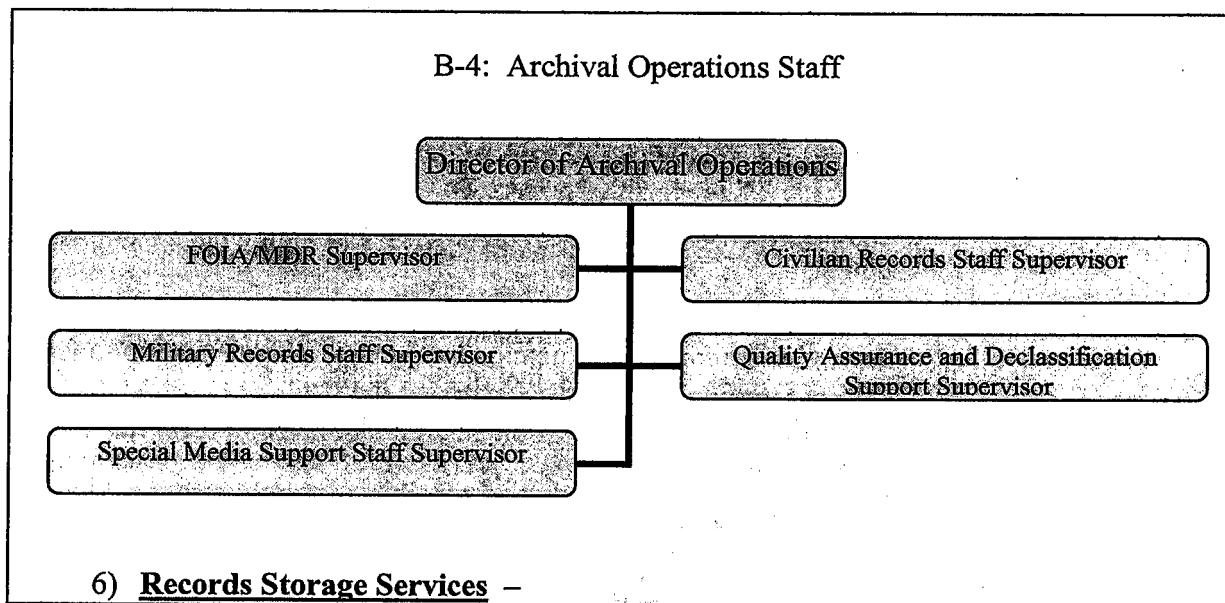
   a) Director of Archival Operations (DAO) – Manages the day-to-day operations of the declassification programs and archival functions. These duties will include:
      - Management and oversight of the declassification teams.
      - Coordination with other NARA offices on reference, processing, preservation, and transfers pertaining to textual and special media records.
      - Working with the Preservation Programs Officer to mitigate any preservation risks in archival storage, on handling and use of records, and to implement preservation strategies to ensure preservation of the records.
      - Coordination of declassification/review processes with agency team leads on-site.
      - Coordination with the Director of Records Storage Services on issues related to transfer of records and accessioning.

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1227	• Statistical reporting to NDC Director.
1228	• Provides input to the Director on issues related to prioritization,
1229	NDC practices and any issues that require resolution by the NDC
1230	Policy Planning Group.
1231	• Provides statistics and input into development of billing program for
1232	the NDC.
1233	• Provides oversight of the classified FOIA/MDR process for
1234	accessioned Federal records.
1235	
1236	b) FOIA/MDR Staff Supervisor
1237	• Assigns FOIA/MDR cases (both incoming and Follow-up).
1238	• Coordinates and collaborates with other agencies on new approaches
1239	to improving response times.
1240	• Coordinates FOIA issues with all NARA program offices
1241	(especially for classified records).
1242	• Provides support for the classified research room.
1243	• Coordinates with the processing teams on re-filing released records
1244	into completed projects.
1245	• Manages a staff of experienced archives specialists.
1246	
1247	c) Civilian Records Staff Supervisor
1248	• Participates in work planning/prioritization for civilian agency
1249	records.
1250	• Directs pre-accessioning activity (including series identification and
1251	holdings maintenance) for civilian agency records.
1252	• Implements annual processing work plan (including workflow,
1253	declassification processes, and archival description) for civilian
1254	agency records.
1255	• Reports completed projects to the DAO and appropriate program
1256	offices.
1257	• Facilitates the move of processed records to Archives II.
1258	• Manages a staff that includes archivists, archives specialists and
1259	archives technicians.
1260	
1261	d) Military Records Staff Supervisor
1262	• Participates in work planning/prioritization for military agency
1263	records.
1264	• Directs pre-accessioning activity (including series identification and
1265	holdings maintenance) for military agency records.
1266	• Implements annual processing work plan (including workflow,
1267	declassification processes, and archival description) for civilian
1268	agency records.
1269	• Reports completed projects to the DAO and appropriate program
1270	offices.
1271	• Facilitates the move of processed records to Archives II.

1272	• Manages a staff that includes archivists, archives specialists and
1273	archives technicians.
1274	

1272 • Manages a staff that includes archivists, archives specialists and
1273   archives technicians.
1274

1275 e) Quality Assurance and Declassification Staff Supervisor
1276   • Oversees the interagency QART process based on annual workplan.
1277   • Provides staff support to the QART.
1278   • Provides reviewer support to the QART and reviewers for Orphan
1279   records.
1280   • Operates and provides support for the IRC.
1281   • Serves as the contracting officer for the clerical/indexing contract.
1282   • Reviews orphan and similar records in the IRC.
1283   • Provides SME assistance to the instructional design team for
1284   training.
1285   • Manages the QART support staff consisting of archivists, archives
1286   specialists, and archives technicians.
1287

1288 f) Preservation Programs will provide a Supervisor located at the NDC
1289   who will be responsible for:
1290   • Implementing the special media reformatting and access project plan
1291   and coordinating a staff that includes conservation and preservation
1292   specialists and technicians required for the project plan. The current
1293   plan calls for dedicated A/V preservation specialists and
1294   conservation technician support. Additional expertise and support,
1295   if less than full-time, will be provided from current staffing in
1296   Preservation Programs, as needed.
1297   • Advising agencies on special media access and/or preservation or
1298   duplication issues as necessary.
1299   • Coordinating special media referrals with the IRC.
1300   • Providing support to the QART for special media declassification
1301   issues.
1302   • Providing and maintaining special media equipment for agency
1303   review.
1304   • Providing preservation services (or coordinating with NARA
1305   Preservation Programs) for the archival processing teams and FOIA
1306   team.
1307   • Managing the IT infrastructure that supports the preservation
1308   reformatting and access to special media records in the NDC.
1309   • Manages a special media support that includes a conservator,
1310   conservation technician, motion picture specialists, A/V specialists,
1311   dynamic media technicians and digital imaging technicians.
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B-4: Archival Operations Staff

Director of Archival Operations

FOIA/MDR Supervisor | Civilian Records Staff Supervisor

Military Records Staff Supervisor | Quality Assurance and Declassification Support Supervisor

Special Media Support Staff Supervisor

6) **Records Storage Services** –

a) Director of Records Storage Services – Manages records storage operations at the NDC. Plans and directs records storage operations and provides leadership and supervision to staff. The Director will:
   - Coordinate with agencies on transfer, reference, re-files, interfiles and disposal issues.
   - Coordinate with NARA archival staff on appraisal and accessioning.
   - Work with the DAO to coordinate transfer or accessioned records.
   - Provide statistics and input into development of the program for the NDC.
   - Generate statistical reporting for the NDC Director.
   - Coordinate with agencies to facilitate initial declassification of temporary and pre-archival records.
   - Manage the environment in storage to meet the applicable standards for preservation of records, in collaboration with Preservation Programs Officer.

b) Supervisory Archives Specialist (Assistant Director/Vault Manager) – Manages the day-to-day activities of the staff, performs quality control auditing of reference services, and oversees duties related to searching, retrieving, re-filing, shelving, removing, and screening of agency records and preparing them for shipment to customer agencies. Establishes procedures for and controls access to temporary and pre-archival records in the NDC.

c) Supervisory Archives Specialist (Dock Manager) – Supervises a team of archives technicians/aids and wage grade motor vehicle operators and performs or oversees the performance of duties related

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to picking up, receiving, and delivering records to and from Federal agencies. Assists in planning the removal of disposable records.

1350   *Appendix C: Converting the NDI into the NDC*
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1352   <u>Immediate Changes</u>
1353

1354 **1) NDC Policy Planning Group** – This group will be established by NARA, and will
1355   address common road blocks in the declassification process and establish policies to
1356   improve declassification. Using the new Executive order or Presidential statement for
1357   high level guidance, the NDC Policy Planning Group will be responsible for directing
1358   mandatory participation. This represents a transformational change between the
1359   voluntary NDI and a mandatory NDC. NARA has already identified six areas in need
1360   of consolidated policy guidance.

1361   a. **Review Priorities** – NARA has begun developing a list of records that are
1362   frequently requested and have high research use. NARA and agencies need to
1363   develop a joint prioritization plan to ensure the public has access to high
1364   interest records first. This will require agencies to focus declassification and
1365   referral review, and NARA to focus indexing, withdrawal and processing on
1366   the highest priority records. In establishing a priority list, NARA and the
1367   agencies should work with public interest and historical groups to determine
1368   which records are high interest.

1369   b. **QA Process** – One of the road blocks in the current process is the interagency
1370   QA review. Ideally, reviewers identify all classified information and
1371   information that requires referral. In practice this is not always the case.
1372   However, reviewing all records in the QA process has proven to be a long and
1373   slow process. The policy planning group needs to address the validity of
1374   performing a QA review on all records. The policy group needs to apply risk
1375   analysis methodologies to determine which records require QA review, and to
1376   define an error rate below which records do not require an entire page-by-page
1377   review.

1378   c. **Training** – NARA has hired an instructional design specialist to work with
1379   agencies to establish standardized training for all reviewers. This training will
1380   ensure all reviewers receive the same, comprehensive training on the review
1381   process. This will be extremely useful for agencies that have high turnover
1382   among declassification reviewers. The NDC will need to expand this idea to
1383   strengthen the equity recognition portion of the training. While agency
1384   reviewers can not declassify another agency's equity, it is vital that all
1385   reviewers are able to accurately identify another agencies' equity for
1386   appropriate referral. To accomplish this goal the policy group needs to ensure
1387   that all participating agencies cooperate to provide the training group with all
1388   information necessary to accurately identify their equity.

1389   d. **Declassification Guidelines Library** – NARA is establishing a web interface
1390   on their classified network to create a library of declassification guides. By
1391   keeping guidelines in this library up to date, agency reviewers will always
1392   have an accurate source for their guides. NARA is very clear that access to
1393   these guides does not mean a reviewer can declassify another agency's equity.
1394   The purpose is for agency reviewers to have access to the most up to date
1395   version of their own guidelines, and to allow other agency reviewers to

1396	accurately identify other agency equities for referral. The policy group needs
1397	to agree on use of the library.
1398	e. **Consolidate Data Capture** – Agencies performing declassification review
1399	are capturing data about exempted and referred records. NARA is capturing
1400	similar information at the back end of the process. Currently, the data
1401	agencies are creating not always compatible with the NARA system. The
1402	policy group needs to address the consolidation of data across agencies. A list
1403	of common data elements needs to be generated, and agencies need to agree to
1404	turn over the data in a format that can be ingested into an NDC system. By
1405	working together we can eliminate duplication (and sometimes triplication) in
1406	the process.
1407	f. **Kyle/Lott Review** – The Department of Energy requires that all declassified
1408	records be reviewed and certified by a trained Kyle/Lott reviewer.
1409	Completion of this review is not accurately tracked, and as a result records are
1410	sometimes reviewed multiple times. Agencies need to work together to
1411	accurately track when all declassification review has been completed. The
1412	policy group should ensure all agencies are tracking when records have been
1413	reviewed (and by whom), and this information should be tracked by the NDC.
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1416	2) **DOD Joint Referral Center** – The NDC should coordinate with DOD on the
1417	establishment of the DOD JRC. As the NDC is established, practices need to be
1418	standardized across all agencies. As DOD sets up the JRC, consideration should be
1419	given to integrate it as a remote aspect of the NDC. Certain aspects such as common
1420	practices and procedures for declassification, a joint system of tracking
1421	declassification review decisions, joint review priorities and a separate QA team on-
1422	site should be developed. This relationship should be established through an MOU.
1423	
1424	3) **Existing Referral Center** – To accommodate additional agency reviewers
1425	(participating in the NDC), NARA plans to expand ADRRES to allow all agencies
1426	access to ADRRES. NARA will change the existing process to create two IRC
1427	teams, civilian and military, each with an associated QA team. In addition, NARA
1428	will hire cleared clerical contractors to complete indexing and data input, freeing up
1429	existing staff to complete the more complex declassification and archival processes.
1430	
1431	4) **Space at Archives II** – Archives II does not have enough space to accommodate a
1432	fully functional NDC. As a result NARA will re-evaluate the allocation of space to
1433	agency reviewers and the NDC staff to determine the best use space. This will
1434	require relocation of some processes and reviewers. NARA will evaluate workloads
1435	to determine space needs for all agencies and the NDC staff, and reallocate space to
1436	meet existing requirements. During this period of transition, the NDC at Archives II
1437	should be viewed as an opportunity for learning by doing. Workflow and process
1438	approached should be tested and best practices should be adopted. The vision of a
1439	purpose-built NDC, that can fully and completely serve the needs of the Federal
1440	government, should not be abandoned.
1441	

1442	5) **Guidance** – To improve the declassification process and reduce invalid referrals, the
1443	NDC staff will work with agencies and ISOO to develop a standard interagency
1444	guide. This guide will address information common to multiple agencies to ensure it
1445	is treated the same by all reviewers, and will identify information that does not
1446	require referral to avoid clogging the system with unnecessary referrals. This guide
1447	will not affect declassification and referral of information that is unique to individual
1448	agencies.
1449	
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1451	## Mid to long term changes
1452	
1453	1) **Business Process Re-engineering** – With the establishment of an NDC, NARA will
1454	begin a BPR of the interagency declassification processes. NARA and agency
1455	officials will be asked to examine the process and work together to develop improved
1456	and streamlined processes for the NDC.
1457	
1458	2) **IT System** – In conjunction with the BPR, NARA will examine the need for a
1459	replacement for the ADRRES system. This system will facilitate the interagency
1460	processes identified in the BPR and Begin development of a new system to support
1461	the NDC. NARA and agencies will be asked to identify:
1462	a. What is missing in the process?
1463	b. What can be done better?
1464	c. Can we use secure network to allow agencies to use same system when
1465	reviewing their records?
1466	
1467	3) **NDC Staffing** – In order to establish the NDC, additional staff will be hired. This
1468	includes a Director and as envisioned in the draft CONOPS, and a Deputy Director
1469	who will be on detail from one of the participating agencies. Additional staff,
1470	including contractors, will be brought on board as needed as the NDC functions
1471	evolve and expand.
1472	
1473	

1474 *Appendix D: Draft NDC Timeline*
1475
1476 **National Declassification Center Timeline v 3**
1477 **2009 – 2015**
1478

1479 <u>**FY 2009**</u>
1480

1481 May 2009
1482 • Develop final draft of CONOPS, including:
1483   o Staff descriptions
1484   o Organizational chart
1485   o Timeline
1486   o Proposal to convert NDI into NDC
1487 • Continue Site Selection Process
1488

1489 June 2009
1490 • Begin conversations with other agencies on CONOPS
1491 • Finalize plan to convert NDI into the NDC
1492 • Develop final list of sites
1493 • Begin Phase I of the BPR Process
1494

1495 July 2009
1496 • Continue conversations with other agencies on NDC and CONOPS
1497 • Develop technical requirements for NDC building
1498 • Select NDC Site
1499

1500 September 2009
1501 • Complete Phase I of the BPR Process
1502

1503 <u>**FY 2010**</u>
1504

1505 October 2009
1506 • RFP for builder (60 days)
1507 • Begin Phase II of BPR Process
1508

1509 December 2009
1510 • Begin evaluation and contract award (4-6 months through April)
1511

1512 February 2010
1513 • Complete Phase II of BPR Process
1514

1515 May 2010
1516 • Select builder

1517 • Begin building design process (9 months through January 2011)
1518 • Begin Phase III of the BPR Process
1519
1520 September 2010
1521 • Complete Phase III of the BPR Process
1522
1523 **FY 2011**
1524
1525 December 2010 – January 2011
1526 • Final approval of building design
1527
1528 February 2011
1529 • Break ground (18 month for construction through October 2012).
1530 • Begin furniture design and purchase process.
1531
1532 **FY 2012**
1533
1534 October 2011
1535 • Begin development for NDC systems.
1536 • Begin Purchasing and installation of IT Infrastructure (network, PCs, phone, etc.)
1537
1538 November 2011
1539 • Begin procurement for NDC facility computers, cubicles, furniture, etc.
1540
1541 May 2012
1542 • Begin Move Preparations
1543
1544 **FY 2013**
1545
1546 October 2012
1547 • Final approval of building
1548
1549 November 2012
1550 • Building occupancy
1551 • Begin moving records
1552
1553 May 2013
1554 • Complete records move
1555