September 27, 2017

TO: David S. Ferriero
            Archivist of the United States

FROM: James Springs
            Inspector General

SUBJECT: *Audit of NARA's FOIA Program*

This memorandum transmit the results of our final report, for the *Audit of NARA's FOIA Program* (OIG Audit Report NO. 17-AUD-16). We have incorporated the formal comments provided by your office.

The report contains 15 recommendations aimed at improving NARA's FOIA program. Your office concurred with all recommendations. Based on your September 26, 2017 response to the final draft report, we consider all the recommendations resolved and open. Once your office has fully implemented the recommendations, please submit evidence of completion of agreed upon corrective actions so that recommendations may be closed.

As with all OIG products, we determine what information is publically posted on our website from the attached report. Accountability has stated NARA does not desire any redactions to the posted report.

Consistent with our responsibility under the *Inspector General Act, as amended,* we may provide copies of our report to congressional committees with oversight responsibility over the National Archives and Records Administration.

We appreciate the cooperation and assistance NARA extended to us during the audit. Please call me with any questions, or your staff may contact Jewel Butler, Assistant Inspector General of Audits, at (301) 837-3000.

OFFICE *of* INSPECTOR GENERAL
NATIONAL ARCHIVES

Audit of NARA's Freedom of Information Act (FOIA) Program

September 27, 2017

Audit Report No. 17-AUD-16

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Why Did We Conduct This Audit?

The Freedom of Information Act (FOIA) requires federal agencies to provide the public with access to government information. It is essential that agencies effectively manage their FOIA programs to ensure transparency and that an effective system is in place to respond to requests timely. We performed this audit to determine whether the National Archives and Records Administration's (NARA) FOIA process was efficient, effective, and complied with current laws and regulations. We also assessed internal controls in place to ensure NARA responded to FOIA requests timely and accurately.

What Did We Recommend

NARA needs to give critical attention to strengthening management controls over its FOIA process and providing better oversight and management of FOIA activities to ensure processes and procedures are effective and efficient and result in adherence to statutory requirements for timeliness.
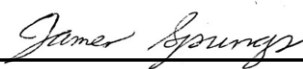
This report includes 15 recommendations intended to strengthen controls over NARA's FOIA Program.

What Did We Find?

NARA's FOIA program needs strengthening to ensure it can effectively and efficiently meet its reporting goals and the statutory requirements for timeliness. NARA lacks a centralized FOIA program that has agency-wide responsibility for FOIA compliance and performance, to include developing agency-wide policies and procedures, implementing FOIA initiatives and corrective action plans, and providing training to staff. NARA's current FOIA program is a highly decentralized, with different components providing separate policies and procedures, guidance, responses, and using separate information technology systems that do not interface.

We found management oversight needs improvement; FOIA requests are not processed timely; annual FOIA costs are not adequately supported; FOIA processing systems are not updated or centralized; FOIA staff are not adequately trained; and FOIA policies and procedures are outdated and lack consistency. We attribute these conditions to lack of adequate management controls and the decentralized nature of NARA's FOIA program, which were contributing factors for many of the issues identified.

Without adequate management controls, and proper structuring, NARA's FOIA program will continue to face significant backlogs of over 4,100 FOIA request and an added risk of accruing unnecessary cost related to FOIA litigation expenses. Additionally, NARA will continue to submit unreliable FOIA data to the Department of Justice (DOJ); employees will continue to duplicate efforts which may result in wasted man hours and associated labor cost; and NARA will continue to expend funds to maintain multiple information technology (IT) systems that could be put to better use.

James Springs
Inspector General

Background

The Freedom of Information Act (FOIA)[1] provides any person the right to submit a written request for access to records or information maintained by the Federal Government. Federal agencies are required to disclose any information requested, unless the records are protected from release under one of nine FOIA statutory exemptions[2] or one of three special law enforcement record exclusions.[3] FOIA mandates that all agencies public information, agency rules, opinions, orders, records, and proceedings be made promptly available to the general public whenever a request is received that reasonably describes the records being sought. Agencies must provide the records requested within 20 working days. In unusual circumstances[4] agencies may extend the time limit by giving written notice to the requester. If the time limit is extended beyond ten working days the agency must provide the requester with the opportunity to narrow the scope of the request or to arrange for an alternative time frame for completion and make their FOIA Public Liaison (FPL)[5] available to assist in the process. FOIA requires agencies to publish guidance in the Federal Register. The guidance must include descriptions of the agency's central and filed organization, and establish the locations, applicable personnel, search fees, and the methods by which the public may obtain information or decisions. Thus, FOIA establishes a core requirement for all agencies to establish and publish rules concerning how and where request for records can be made by the public. FOIA also requires agencies to submit an annual report to the U.S. Attorney General each year. The report should contain detailed statistics on the number of request received and processed, the time taken to respond, outcome of each request, reported backlog,[6] as well as many other vital statistics regarding administration of the FOIA at Federal Departments and Agencies. The basic policy of Congress in enacting FOIA was to establish a "general philosophy of full agency disclosure unless information is exempted under clearly delineated statutory language."[7]

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[1] 5 U.S.C. § 552, As Amended.

[2] 5 U.S.C. § 552 (b)(1)-(9).

[3] 5 U.S.C. § 552 (c)(1)-(3).

[4] When there is a need to search for and collect records from separate offices; when there is a need to search for, collect and examine a voluminous amount of records; or when there is a need for consultations with another agency or among two or more components within the same agency.

[5] 5FOIA Public Liaisons report to the Chief FOIA Officer and serve as a supervisory official to who a requester can raise concerns about the service the requester has received from the component.

[6] The number of requests or administrative appeals that are pending at an agency at the end of the fiscal year that are beyond the statutory time period for a response.

[7] S. REP. NO. 89-813, at 3 (1965).

Executive Memorandum

In 2009, President Barack Obama and Attorney General Eric Holder issued memoranda on FOIA. The memoranda emphasized that FOIA "should be administered with a clear presumption: in the face of doubt, openness prevails." The President directed agencies to take affirmative steps to make information public and not to wait for requests from the public. The FOIA Guidelines stressed the need for agencies to:

- Have efficient and effective systems in place for responding to requests.
- Increase proactive disclosures.
- Improve the use of technology.
- Reduce backlogs of pending FOIA requests and appeals.
- Improve timeliness in responding to requests.

NARA FOIA Process

NARA has a decentralized FOIA program.[8] NARA's Office of General Counsel (NGC) is responsible for processing public request for access to operational records.[9] NARA's Special Access and FOIA Staff (RD-F) in College Park, Maryland, logs and tracks all FOIA requests for access to archival records[10] of executive branch agencies held at the National Archives facilities in the Washington DC area. Each Research Services field location operates their own FOIA program. FOIA requests are sent to the Archival Directors of each Research Services facility where the records are located. Presidential records housed at the Presidential Libraries are also subject to FOIA five years after the end of the administration under the Presidential Records Act. Some of these Presidential Libraries also maintain small collections of Federal records which are subject to FOIA. The Presidential Libraries receive and process the initial FOIA request for presidential records. NARA's National Personnel Records Center (AFN-M) located in St. Louis, Missouri is the repository for millions of official military personnel files and other health and medical records of discharged and deceased veterans of all branches of the service during the 20th century. AFN-M also stores permanent Official Personnel Folders (OPFs) and records of dependent and other persons treated at naval medical facilities. AFN-M also receives and processes the initial FOIA request associated with medical records stored in the St. Louis facility.

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[8] This includes the **Office of the Inspector General (OIG) an** independent office within NARA that handles FOIA processing of their operational records. This audit did not address OIG's FOIA process

[9] Records that NARA created or received when carrying out their mission and responsibilities as an executive branch agency.

[10] Permanently valuable and historic records of the United States Government that have been transferred to the legal custody of the Archivist of the United States.

Finally, NARA's National Personnel Records Center, Civilian Personnel Records (AFN-C) located in Valmeyer, Illinois houses temporary OPFs and all employee medical folders and military dependent medical records and military treatment records. AFN-C stores personnel documents that date back to the mid-nineteenth century. The bulk of the records cover the period from 1900 to present. AFN-C also houses the medical records of military family members treated at Army, Air Force, and Coast Guard medical facilities. AFN-C receives and processes the initial FOIA request for all OPF and medical records of separated federal civilian employees. Although NARA has a decentralized initial FOIA request process the FOIA appeal process is centralized. NGC administers and processes all of NARA's FOIA appeals for final adjudication and approval by the Deputy Archivist of the United States.

Objectives, Scope, Methodology

Objectives

The overall objective of this audit was to determine whether NARA's FOIA process is efficient, effective, and complies with current laws and regulations; and to assess the internal controls in place over the initial request process to ensure that NARA responded to FOIA requests timely and accurately.

Scope and Methodology

To accomplish our audit objectives, we performed audit procedures at NGC and RD-F at Archives II in College Park Maryland, AFN-M and AFN-C in St. Louis Missouri and Valmeyer, Illinois, respectively, National Archives located in St. Louis, Missouri (RL-SL), and the Clinton Presidential Library (LP-WJC) located in Little Rock, Arkansas. The offices were judgmentally selected based on the total number of requests processed annually and the total number of FOIA requests in backlog status. A judgmental sample of 97 FOIA cases were reviewed at the offices visited. Audit results were not projected to the universe. Audit fieldwork was performed from August 2016 to April 2017.
Specifically, we:

- Reviewed applicable legislative history, laws, regulations, and other background information in order to acquire a working knowledge of NARA's FOIA program.
- Identified the key officials responsible for managerial oversight of NARA's decentralized FOIA program at NGC, RD-F, AFN-M, AFN-C, RL-SL, and LP-WJC.
- Interviewed appropriate NARA officials to ascertain the internal controls in place over the FOIA program. Specifically, to determine if standardized internal controls had been implemented for all components.
- Assessed the internal controls identified to determine if the controls were sufficient to ensure that FOIA requests were responded to timely and to ensure that components did not duplicate their efforts in responding to FOIA request.
- Reviewed internal and external reviews conducted of NARA's decentralized FOIA program to evaluate the issues identified and the corrective actions taken to address the deficiencies noted.
- Evaluated NARA's annual FOIA report to Department of Justice (DOJ) for Fiscal Years (FY) 2013 through 2015 to document the annual fees collected and the total cost of the FOIA program.

- Reviewed FY 2013 through 2015 FOIA program universe data on the number of FOIA cases processed each year and to identify the total number of cases that were in backlog status.
- Analyzed NARA's electronic data files to determine the total number of FOIA requests received, appealed, in litigation, or considered backlogged for FY 2013 through 2015. The data was used to judgmentally select NARA components for fieldwork testing.
- Interviewed NGC officials to determine how data reported to DOJ is comprised. This included an explanation of how NARA calculated annual cost for processing FOIA requests and if the annual report included fees collected for both operational and archival FOIA requests.
- At each selected NARA component group, we reviewed FOIA notices, Standard Operating Procedures (SOPs), and guidance issued concerning FOIA processing including the collection of FOIA processing fees.
- Interviewed NARA officials to identify FOIA systems being used to process FOIA requests and to determine the systems' capabilities, technological tools, and annual cost to maintain the various systems.
- Interviewed NARA officials to ascertain whether the components had implemented any new policies and/or procedures to reduce the FOIA backlog.
- Reviewed FOIA cases that were processed, backlogged, under litigation, appealed, and had exemptions applied to test the internal controls identified to ensure that requests were processed timely and adhered to federal laws and regulations. A total of 97 cases were reviewed.
- Reviewed FOIA training schedules, materials, and employees training records and development guides to determine if NARA's FOIA professionals attended regular training.

This performance audit was conducted in accordance with generally accepted government auditing standards. The generally accepted government auditing standards require we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

The audit was conducted by Kurt Thompson, Senior Program Auditor.

Audit Results

NARA's FOIA program is not structured in a manner to effectively and efficiently meet its reporting goals or the statutory requirements for timeliness. NARA lacks a centralized FOIA program that has agency-wide responsibility for FOIA compliance and performance, to include developing agency-wide policies and procedures, implementing FOIA initiatives and corrective action plans, and providing training to staff. NARA's current FOIA process is highly decentralized, with different components providing separate policies and procedures, guidance, responses, and using separate IT systems that do not interface. NARA officials disagreed that decentralization is the cause for processing delays and that policies and procedures are largely controlled by the agencies that own the personnel records. Also, the officials believed that the most significant contributors to the backlog are the increasing number of FOIA requests, the volume of records requested, and the insufficient number of staff to process requests

We found management oversight needs improvement; some FOIA requests are not processed timely; annual FOIA cost are not adequately supported; FOIA processing systems are not updated or centralized; FOIA staff are not adequately trained; and FOIA policies and procedures are outdated and lack consistency. We attribute these conditions to lack of adequate internal and management controls and the decentralized nature of NARA's FOIA program, which were contributing factors for many of the issues identified. As previously stated, NARA officials believed these conditions existed because of a lack of resources. However, it was determined that responsible management officials have not deliberated on the number of FTE, or whether resource needs identified by the Chief FOIA Officer are necessary.

Without adequate internal and management controls, and proper structuring, NARA's FOIA program will continue to face a significant case backlog of over 4, 100 FOIA request and an added risk of accruing unnecessary cost related to FOIA litigation expenses. Additionally, NARA will continue to submit unreliable FOIA data to the Department of Justice (DOJ); employees will continue to duplicate efforts which may result in wasted man hours and associated labor cost; and NARA will continue to expend funds to maintain multiple technological systems that could be put to better use.

Finding 1. Management Oversight Needs Improvement

Components did not have effective internal controls in place to review the quality of FOIA responses before the issuance of records or to ensure that funds collected were accounted for in a proper manner. This occurred because NARA lacked effective quality control processes. As a result NARA lacks assurance personally identifiable information (PII) or classified information was not released to the general public and all fees collected were accounted for properly.

GAO's Standards for Internal Control in the Federal Government stresses that the tone at the top – management's philosophy and operating style – is fundamental to an effective internal control system. It also emphasizes the importance of management performing ongoing monitoring of the design and effectiveness of the internal control system as part of the normal course of operation.[11]

NARA has designated its General Counsel as the Chief FOIA Officer. Along with other responsibilities, the Chief FOIA Officer is also to ensure that FOIA responses are timely, accurate, and complete. Due to the decentralized FOIA process at NARA, the Chief FOIA Officer has almost completely been dependent on five NARA program offices, with a total of 27 components to implement effective internal control systems to ensure compliance with FOIA, and to ensure that the responses to the requests were accurate, timely, and did not include any PII or classified information.

OIG found that at the five components visited, only one had an effective quality control system in place to review the quality of FOIA request responses and to ensure that NARA FOIA professionals did not inadvertently release PII or classified information. Specifically, AFN-M had implemented an effective quality control system that the other components could use as a model. The goal of the quality assurance (QA) program was for continuous improvement through the identification of performance gaps impacting production and customer satisfaction. Under this program, a team of expert technicians and a coach conducted daily reviews of completed work (responses). Discrepancies identified by the reviewers would be returned to the respective manager for validation of the errors. Six percent of all cases completed on a daily basis were subject to a QA review. The QA process was designed to identify errors, ensure standardization of responses, identify training gaps and develop interventions, and to establish quality performance standards (QPS).

The QPS is reflected as a critical element on annual performance plan for technicians. The aggregate review results are periodically reviewed by the learning development staff and

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[11] GAO-14-704G, §§ 16.02 to 16.05

managers in order to identify performance gaps and develop interventions to continually improve the quality of the responses to customers.

Although we determined the quality control system in place at AFN-M was effective, we also identified issues with their internal control structure related to the collections of fees. We found that there was no managerial oversight or separation of duties over fees collected. One employee handles all fees mailed into a drop box, and then processes the funds received without supervision or confirmation of the total amount of funds received by a separate employee. As a result, there is no assurance that all of the funds collected were accounted for and actually deposited in NARA's account. Without proper internal controls, employees are given the opportunity to misappropriate funds for personal use and to conceal potential theft by altering the accounting records.

LP-WJC had a quality control system in place to conduct second party reviews of all responses to FOIA requests that included classified records prior to any documents being released to the general public. However, we found the current system in place was ineffective. Specifically, the office did not document and certify whether second party reviews were conducted before documents were released. The system was only designed to review responses that were deemed to contain classified documents, but it did not assess and/or monitor the quality of the responses in order to determine accuracy and/or timeliness of the response. When we informed NARA officials of our concerns, the LP-WJC Supervisory Archivist informed the audit team that second party reviews were being conducted but the technician failed to document and certify that the review was conducted.

RL-SL and RD-F had not implemented any type of quality control system. The two offices did not conduct second party reviews, managerial reviews, or spot checks to ensure that PII or classified information was protected from being released. The two offices also did not conduct any monitoring to assess the quality of the responses. Because the two components did not implement a quality control system there is no assurance PII or classified information was not released.

AFN-C did not have a written and documented quality control system in place. The audit team was informed that a second party review is being conducted by a team member to ensure that PII is not being released to the general public. However, we found that this review was not documented or certified to by the team lead. This internal control was ineffective and we question the accuracy of the second party reviews being conducted.

We found four instances where NARA records may have been improperly redacted and PII could have been released to the general public. In each of the four cases Federal employees' cash awards, salaries, social security numbers, and addresses were clearly visible underneath the

manual redactions. The Assistant Director of the component stated that the PII was only readable because the records were digitized for the audit team's review. After completion of audit fieldwork, the Director of AFN-M stated that the copy provided to OIG was the first generation copy and not the second generation copy that was provided to the requester. The Director also provided OIG with guidance related to how FOIA professionals are to redact PII. The guidance instructed FOIA professionals to retain the second copy of the redacted form and dispose of the first copy with the original marker redactions. However, other guidance provided by the Director instructed the staff to delete PII on a machine copy by using a black felt tip marker and not to release the machine copy to the requester but retain the copy in the medical or personal jacket. Both policies placed emphasis on making a second generation copy before releasing redacted documents to the public. However, the two policies were conflicting concerning whether to dispose of the copy with the original marker redactions. Based on these procedures, NARA did not follow its own policy of disposing of the initial copy, instead, that copy was possibly maintained and provided to the OIG.

NARA's Office of Inspector General (OIG) reported a similar issue related to the redaction process at the National Personnel Records Center in 2009. It was reported that AFN-M had been consistently compromising the privacy of military veterans' personal information by improperly redacting the files released. Specifically, non-releasable information was generally being redacted with only a grease pencil that could easily be removed to show the information beneath.[12] DOJ OIP reported that the use of black pens and red tape to manually redact documents are a thing of the past and efforts should be made for decentralized agencies to universally employ technology to process request. NARA was already aware that manually redacting PII was flawed and senior management still did not ensure that components implemented effective quality control measures. After the completion of the audit fieldwork the Director of AFN-M stated that changes in redactions of PII were implemented immediately in 2009 and have been re-enforced multiple times. GAO's Standards for Internal Control in the Federal Government also emphasize that management is to monitor the internal control system on an ongoing basis. Monitoring is built into the entity's operations, performed continually, and responsive to change. Management also performs monitoring of the design and operating effectiveness of the internal control system to include regular management and supervisory activities, comparisons, reconciliations and other routine actions that may include assessing components performance with FOIA compliance, conducting spot checks, and establish and reviewing metrics.[13]

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[12] NARA OIG Management Letter #09-12, Redaction Process at the National Personnel Records Center, April 29, 2009

[13] GAO-14-704G, at §§ 16.04, 16.05.

Considering the voluminous amount of archival records subject to FOIA that NARA has in its holdings,[14] management should be diligent in monitoring and implementing internal controls. NARA officials agreed that quality control systems need to be implemented across NARA components tasked with responding to FOIA requests. The 27 components need to implement a quality control system to ensure that responses are accurate and all PII and classified information are properly protected.

Recommendations

We recommend NARA Senior Management/Responsible Official:

Recommendation 1: Implement effective internal controls over funds collected include proper segregation of duties and managerial reviews at all components including AFN-M.

Management Response

NARA concurs with this recommendation and as soon as this deficiency was identified by the OIG Auditor, NPRC implemented a process change to segregate the funds collection and managerial review. This was presented to the auditor before he completed his audit at NPRC. NPRC will incorporate this new process in the latest version of the NPRC directive guiding the operations of the Federal Record Center's Research Room at Archives Drive.

Target Completion Date: December 31, 2017

OIG Analysis

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Recommendation 2: Ensure effective and systematic quality control system for components tasked with processing FOIA request to include periodic monitoring.

Management Response

NARA concurs with this recommendation. NARA will to the extent not already in place, each program office will establish a quality control system for processing FOIA requests that meets the needs of the office. The Chief FOIA Officer will also develop a means to conduct periodic monitoring of FOIA work by components.

Target Completion Date: October 31, 2018

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[14] NARA reports that there are over 12 billion pages of unique documents are in their holdings. .

OIG Analysis

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Finding 2.   FOIA Requests Not Processed Timely

Some FOIA requests are not processed within statutory timeframes. This occurred because there is a lack of senior management involvement over the decentralized FOIA program employed at NARA. However, as previously mentioned, NARA officials believed that the delays in processing FOIA request were only attributed to insufficient staffing to handle the high volume of request. We found that there were requests that had not been fully processed in over 10 years, and that NARA had the 10 oldest FOIA requests pending across all of the Federal government.[15]. As a result, at the conclusion of FY 16 NARA has maintained a case backlog of 4,157 FOIA request that have yet to be processed.[16] NARA also runs the risk of unnecessary cost related to FOIA litigation expenses.

The Electronic Freedom of Information Act Amendments of 1996[17] generally required Federal agencies to make a determination on a FOIA request within 20 working days.[18] Also, President Bush's Executive Order 13392 instructed agencies to process requests efficiently, achieve measurable process improvements (including the reduction in the backlog of overdue requests), and reform programs that were not producing the appropriate results.[19] Finally, DOJ OIP guidance suggests that agency leadership is critical in reducing FOIA backlogs, improving timeliness, and obtaining any additional resources or personnel needed.[20]

We reviewed a total of 97 FOIA requests at five NARA components and found that NARA does not consistently meet statutory deadlines when processing FOIA requests. For example, two NARA components provided final determinations on FOIA requests within the required 20 business days for only 4 out of the 28 sampled request reviewed, approximately 14%. It took the components an average of 775 days to process the FOIA requests reviewed. This included two sample requests that had not been processed in over 10 years. AFN-M did process the majority of the sampled FOIA requests reviewed within the 20 day statutory deadline. Specifically, AFN-M processed 33 of the 43 FOIA requests reviewed within the required 20 days. However, it took AFN-M an average of 82 days to process the 10 FOIA requests that were not originally processed within the statutory requirements.

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[15] The ten oldest cases involved classified information that were pending at other Federal Agencies.

[16] NARA's FY 2015 Annual FOIA Report, February 16, 2016. Backlog numbers in this report were used because the report was issued during the initiation of the audit and covered the scope of the audit. The FY 2016 report was issued at the conclusion of fieldwork.

[17] Electronic Freedom of Information Act Amendments, Pub Law No. 104-231, October 2, 1996.

[18] The 20-day time period to respond may be extended in certain circumstances.

[19] Executive Order 13392, Improving Agency Disclosure of Information, December 14, 2005.

[20] DOJ OIP guidance, "Reducing Backlogs and Improving Timeliness, Obtaining Leadership Support", Updated August 15, 2014.

A NARA component also informed requesters that there was over a four year wait to complete processing of FOIA requests that were deemed to be complex and placed in the complex queue.[21] For example, in May 2015, RD-F informed requesters that FOIA requests received in January 2012 were just now being processed.

Public interest groups also conduct evaluations of how Federal Agencies perform their FOIA duties. In FYs 2014 and 2015, the Center for Effective Government published reports concerning a comparative analysis of FOIA programs from the 15 Federal Agencies that consistently received the most FOIA requests, which included NARA. Combined, these 15 agencies received over 90 percent of all FOIA requests during the two FYs being reported.[22] The two reports also identified that NARA struggled with their overall performance in processing FOIA requests. In FY 2014, NARA was one of seven agencies that received an overall failing grade for their FOIA program, with an overall grade of 59%. NARA received an individual FOIA request processing grade of only 48%. In FY 2015 NARA's overall score improved to 71%. However, NARA still received a failing individual grade for processing FOIA requests with a score of only 57%.

The Center for Effective Government recognized that many Federal Agencies struggle to meet the 20 day statutory deadline with few actually meeting this requirement. However, overall compliance with this requirement is much greater across the Federal government than it is at NARA. The average processing days across the government for simple requests were 20.51 days in FY 2014 and 23 days in FY 2015. In comparison, it took NARA an average of 13.6 days to process simple requests in FY 2014 and an average of 26 days in FY 2015. The average processing days for complex requests were 118.7 days in FY 2014 and 121.8 days in FY 2015. For complex requests, it took NARA an average of 965 days in FY 2014 and an average of 1,126 days in FY 2015. While NARA did well in processing simple FOIA requests in 2014, they still exceeded the federal average in 2015. It took NARA more than 8 times longer to process complex requests in FY 2014 and 9 times longer in FY 2015. Also, there is over a four year waiting period for requesters to receive records under FOIA for complex requests in some offices and NARA has the 10 oldest pending FOIA request across all of the Federal government.

When asked about this issue, NARA officials stated that the General Counsel and Chief FOIA Officer completed a business case study in June of 2016 concerning timeliness and the FOIA

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[21] FOIA requests that NARA cannot complete within 20 working days due to complexity, volume, records containing national security information, involving Presidential/Vice Presidential records, or unusual circumstances. Unusual circumstances include searching for records from one or more NARA field offices, consulting with other Federal agencies, or referring records to another federal agency for declassification.
[22] Center for Effective Government, Making the Grade – Access to Information Scorecard 2015, March 2015 and Center for Effective Government, Making the Grade – Access to Information Scorecard 2014, March 2014

backlog at NARA. The Chief FOIA Officer reported that meeting the 20 day statutorily required timeline is the principle FOIA challenge facing NARA. This challenge is attributed to the need for improved technology and not having enough personnel available to process requests within the statutory timeframe given the large volume of request received. Also, staff work on processing FOIA requests as just one aspect of their duties. According to a NARA official, there was a need to seek additional Full-time equivalents FTE to support FOIA processing agency-wide. However, NARA's management has not deliberated on this need or the number of additional FTE's to support FOIA processing across the agency.

Having enough FTEs is vital in processing FOIA requests timely. However, we determined, NARA's overall struggle to meet statutory timeframes was caused by a lack of senior management involvement over the FOIA program. NARA officials disagreed that there was a lack of senior management involvement and at the completion of audit fieldwork provided agendas for NARA's FOIA council meetings held in FY 15 through FY 17. Although, NARA provided documentation that the case study for reducing NARA's backlog was an agenda item, there was no evidence that this topic was discussed with NARA's executive leadership team and senior management. DOJ OIP best practices echo our assertion. DOJ reported that when managers make reducing backlogs and improving timeliness a priority, it increases awareness and accountability across the board. Having leadership support also makes it easier for FOIA managers to obtain any additional necessary resources or personnel. FOIA professionals should meet regularly with leaders in their agencies to update them on progress throughout the year. This regular engagement with agency leaders will help to spread management responsibility for FOIA across the agency and ensure greater accountability. It is also helpful for FOIA professionals to regularly engage any field office personnel whose work impacts FOIA administration. Improving consistency among offices makes managing easier and processing more efficient.[23]

NARA's decentralized FOIA program have not adequately implemented these best practice. Specifically, five different NARA program offices, with a total of 27 components, have responsibility of managing and processing FOIA requests with little to no oversight from senior management. The components are responsible for managing their own FOIA processing and tracking requests by relying on many different IT systems and various SOPs. Each component is responsible for prioritizing the responses to the FOIA requests received, including maintaining and implementing FOIA queues for simple and complex requests without any coordination from a central FOIA office. The program offices are also responsible for developing and disseminating guidance on processing FOIA requests to their staff that should include elements

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[23] DOJ OIP Guidance and Suggested Best Practices for Reducing Backlogs and Improving Timeliness, August 15, 2014.

of FOIA, law, and DOJ guidance and best practices. NGC is responsible for processing FOIA requests for operational records and centrally handles all FOIA appeals and litigation.

In accordance with FOIA regulations, NARA has designated the General Counsel as the Chief FOIA Officer. Regulations state that the Chief FOIA Officer is a high level official who has agency-wide responsibility for efficient and appropriate compliance with FOIA, monitors FOIA implementation throughout the agency, and recommends to the head of the agency any adjustments to practices and policies, personnel, and funding as may be necessary to improve implementation of FOIA.[24]

At the five components visited, we interviewed applicable management and reviewed the SOPs to determine if new policies or procedures or corrective action plans were implemented to address the FOIA backlog and issues with timeliness. The officials interviewed were all unaware of any new policies or procedures issued by NARA senior management or NGC which addressed NARA's FOIA backlog and delays in processing request. An RD-F official stated that they were unaware of any new policies and procedures issued by NARA related to addressing the FOIA backlog. The official stated all FOIA policies are authored by NGC, and that the Presidential Libraries and Research Services would be solicited for input. Procedures resulting from policy would be documented in the decentralized units' SOPs. However, there were no new procedures documented in the SOPs at the five components visited. The components also did not establish corrective action plans to address the FOIA backlog. Two of the components made an effort to address their backlog by implementing active management strategies such as RD-F organizing staff so certain FOIA responsibilities were assigned to specific personnel. RD-F also conducted workload analysis to determine the number of FTEs it took to complete a unit of work, and then organized the staff around the required task and setting goals in their operational plan based on the FTE units identified. LP-WJC assigned area-specific teams for processing FOIA requests. The team concept allowed employees to become subject matter experts related to the specific types of records being processed. LP-WJC also moved responsibility of the reference and research room to archives technicians which allowed archivists to spend more time processing FOIA cases instead of being occupied with research room duties. Archive technicians assisted in holdings maintenance of FOIA materials, freeing up archivists to concentrate more of their time on review and redactions.

Without a centralized FOIA program and involvement from senior management, there is no assurance that components are aware of, and are complying with, changing laws and executive orders that address FOIA provisions. This is a major concern given NARA's current decentralized structure because an agency-wide initiative was not issued, nor were there any corrective action plans established to comply with President Obama's executive order to address Agency's growing FOIA backlog and to improve timeliness.

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[24] NARA FOIA-Guide and DOJ Chief FOIA Officers Council Inaugural Meeting, July 22, 2016.

NARA reported that in FY 2014 that it received a total of 22,237 FOIA requests with an additional 6,600 requests that were pending (backlogged) at the start of FY 14. NARA processed a total of 19,476 requests with 9,361 requests that remained in backlog status, with a total of 28 appeals still pending at the completion of FY 14.

In FY 2015, NARA received a total of 22,555 FOIA requests with an additional 9,361 requests that were pending (backlogged) at the start of FY 15. NARA processed a total of 23,591 requests with 8,325 requests that remained in backlog status, with 105 appeals still pending at the completion of FY 15.

In FY 2016, the total number of FOIA requests NARA received had more than doubled to 49,966 with an additional 4,396[25] requests remaining in backlogged status.

As previously indicated, the Chief FOIA Officer conducted a case study for reducing the FOIA backlog and issued a draft report with recommendations in June 2016. However, the report was not finalized as of the end of our field work. Recommendations had not been implemented, specific guidance was not issued, and a corrective action plan was not developed to ensure compliance with the executive order that clearly instructed agencies to process requests efficiently, and to achieve measurable process improvements (including the reduction in the backlog of overdue requests). Given the growing number of FOIA request that NARA receives each year and the total number of FOIA requests currently in backlog status, NARA senior management could have been more proactive in implementing a corrective action plan to address the issues identified.

Considering NARA is deemed to be the nation's record keeper of all documents and materials created in the course of business conducted by the United States Government, including the office of the Presidents, and holds in trust public records for every day citizens including military records, civilian personnel records, and naturalization records, the agency can expect to receive a substantial amount of FOIA request annually.

Recommendations

We recommend NARA Senior Management/Responsible Official:

Recommendation 3: Establish and document clear responsibilities for managing and overseeing the agency's FOIA program.

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[25] At the end of FY 2015, NARA reported a backlog of 8,325 requests, but noted that it was cleaning up the FOIA data warehouse because the data was not consistently reflecting all request closures. The change from 8,325 backlogged requests to only 4,396 reflected the cleanup to the data warehouse.

<u>Management Response</u>

NARA concurs with this recommendation. NARA's Chief FOIA Officer will update NARA 1602 and the FOIA Reference Guide.

Target Completion Date: December 31, 2018

<u>OIG Analysis</u>

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Recommendation 4:   Finalize the agency-wide internal review and needs analysis of the FOIA program to identify all vulnerabilities and resource needs to effectively manage the FOIA program. If needed seek authority to acquire additional resources needed to improve the timeliness of FOIA responses.

<u>Management Response</u>

NARA concurs with this recommendation. NARA's Chief FOIA Officer will finalize the internal review, and make appropriate recommendations, including considering the centralization of FOIA management to include developing agency-wide policies and procedures, implementing FOIA initiatives and corrective action plans, and providing training to staff.

Target Completion Date: December 31, 2018

<u>OIG Analysis</u>

We consider NARA's proposed actions responsive to our report recommendation. However, NARA still needs to seek the authority to acquire the additional resources that are needed to improve the timeliness of FOIA responses. This recommendation will remain open and resolved, pending completion of the corrective actions identified above to include seeking authority to acquire additional resources needed to improve the timeliness of FOIA responses.

Recommendation 5:   Based on the needs analysis, develop a corrective action plan and strategies for effectively reducing FOIA processing delays and the backlog of FOIA requests.

<u>Management Response</u>

NARA concurs with this recommendation. Based on the recommendations developed in recommendation 4, the Chief FOIA Officer will develop a corrective action plan to address FOIA processing delays and backlogs.

Target Completion Date: December 31, 2018

<u>OIG Analysis</u>

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Recommendation 6: Establish controls for periodic reviews of the corrective action plan to ensure that the plan is effective and is working as intended.

<u>Management Response</u>

NARA concurs with this recommendation. The Chief FOIA Officer will establish controls for the periodic review of the correction action plan.

Target Completion Date: December 31, 2018

<u>OIG Analysis</u>

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Finding 3.   FOIA Costs Reported to DOJ Not Adequately Supported

NARA's FOIA costs reported in its Annual report to DOJ was not fully supported. NARA does not have formal processes in place or the IT capabilities to accurately capture and report annual total cost of its FOIA activities. In addition, each of the selected components reviewed had its own policies and procedures for tracking and reporting FOIA activities. Finally, NARA did not report the reimbursable fees collected by the components for processing FOIA requests. However, NARA reported the time spent to process these requests as part of total annual cost. NARA drastically understated the total annual fees collected which resulted in inaccurate and/or misleading reports to DOJ.

DOJ guidance and federal management cost accounting standards require federal agencies to report on specific categories of FOIA-related costs. Specifically, as part of the annual guidance that it has issued on preparing annual FOIA reports, DOJ requires agencies to report processing costs, litigation-related costs, and fees collected. Percentage of total cost is also reported (Processing Cost/Total amount of fees).[26]

In addition, the federal management cost accounting standards require agencies to report both direct and indirect cost to provide reliable and timely information on the full cost of federal programs.[27] NARA reported it incurred $6.7 million in cost for managing their FOIA program in FY 2015 and only collected $502.20 in FOIA fees for the year. The fees represented only .01% of the total FOIA costs.

The numbers reported are not adequately supported. Specifically, the $6.7 million being reported as annual cost is only supported by a cost estimate tabulated by NGC. NGC issues a data call to the components tasked with processing FOIA requests asking the components to provide an estimate of the total number of FTEs that have FOIA duties and the approximate amount of time that the employees spend processing FOIA requests during the FY. NARA officials at the components were asked to explain how the cost estimates were tabulated and to provide support. We found that NARA's FOIA IT systems do not have time management tracking capabilities to report the actual hours employees spend working on FOIA requests in relationship to their other duties; and the cost estimates were only based on managers estimating the percentage of time each employee spent working on FOIA. Once NARA components

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[26] Department of Justice, Handbook for Agency Annual Freedom of Information Act Reports: Guidance for FOIA Professionals on Proper Tracking and Detailed Instructions for Preparing the Annual Report, Updated February 16, 2017.

[27] Federal Accounting Standards Advisory Board, Statement of Federal Financial Accounting Standards 4, Managerial Cost Accounting Standards and Concepts (version 12, June 2014).

reported their estimated FOIA processing costs, NGC then aggregated the data. The reported cost estimates lacked adequate support and documentation rendering the data unreliable. This method of reporting hinders the accountability for the total costs incurred by NARA when managing their FOIA program.

The weaknesses in NARA's FOIA IT program have contributed greatly in NARA's Annual FOIA Report to DOJ being unreliable and inefficiently prepared. Nearly every component group used different systems to log and track FOIA requests. These systems also lack cost reporting mechanisms that could simplify the compilation of NARA's Annual FOIA cost Report.

Additionally, we found that the total amount of fees reported by NARA is drastically understated. NARA did not report all required reportable fees collected. NARA only reported the fees collected by NGC related to operational records. They excluded the reimbursable fees that NARA collects from the military branches and other federal agencies for archival records. NARA also excluded FOIA reproduction fees collected by components when providing copies of archival records. Because NARA did not report all required fees, it is reporting fees collected as only.01% of the total cost, which is inaccurate. The estimated total cost reported by NARA represents the cost associated with processing both archival and operational records while the fees being reported only represented collections for processing operational records.

When this issue was brought to a NARA Officials attention, they stated that the reimbursable fees[28] are reported in NARA's Trust Fund. They also stated that reproduction fees are not considered by NARA as FOIA fees. An RD-F official stated that she agreed that NARA is reporting FOIA related cost associated with processing archival FOIA requests for military branches and other federal agencies that compensate NARA. The official was concerned that the Federal agencies and the military branches were reporting the amount paid to NARA as a FOIA cost in their Annual FOIA Report, and when NARA reports their cost estimate, it would be duplicating the total cost being reported by other Federal agencies and military branches which compensate NARA.

We believe that NARA is reporting a FOIA cost that is already being reported by other Federal agencies and military branches and does not report the annual reimbursable fees collected. Reproduction fees[29] associated with completing FOIA requests should also be reported because document duplication is a direct cost that's permitted under DOJ guidance and it is a fee received from the requester related to completing FOIA requests.

According to DOJ, FOIA processing costs include the sum of all costs expended by the agency for processing the initial FOIA request and any administrative appeals, including salaries of

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[28] Costs expended by NARA to process a FOIA request on behalf of another Federal Agency, which are refundable.
[29] Fees charged to the public by NARA for reproduction of records.

FOIA personnel, overhead, and any other FOIA-related expenses. FOIA fees should include all fees received from a requester for search, review, document duplication, and any other direct cost permitted. FOIA professionals also need to have a mechanism in place to track this information throughout the year.

Due to noted weaknesses above, in NARA's IT systems, there is no assurance that other statistics reported in the Annual FOIA Report are accurate and complete. We found that NARA components use multiple technological systems to process and track FOIA requests that do not interface with NARA's primary reporting system for FOIA request, PMRS. Components are required to extract FOIA data from the various systems, and then send the data to the PMRS contact to be uploaded into the reporting system. This method has the potential to present data integrity issues for NARA. Specifically, there is data integrity risk in processing a large amount of data from multiple systems. For example, there is added risk of processing errors related to data entry and the need for detective controls to ensure that only valid data is entered into the system and that the data is complete before reporting.

NARA's published 2016 Annual FOIA Report acknowledged that errors existed in the statistics that had been reported in the prior fiscal year. NARA's data warehouse did not consistently reflect all request closures and this resulted in a higher number of requests reported as pending at the end of FY 2015. NARA reported a change in the number of request pending at the start of FY 2016. The change from 8,325 to 4,396 reflected the cleanup to the data warehouse and NARA believes that this figure accurately reflects the number of pending requests at the start of FY 2016.

Although NARA identified the errors and cleaned up their data warehouse, there is limited assurance the current method of extracting FOIA statistical data from multiple systems can produce an accurate Annual FOIA Report and the data is truly accurate for reporting purposes. According to DOJ, each agency is ultimately responsible for the accuracy and completeness of its Annual FOIA Report. It is therefore essential for agencies to take steps that will ensure that they are adequately tracking all of the information necessary to complete the Annual FOIA Report sections. Agencies that utilize a tracking or case management system for this purpose are responsible for ensuring that the system they are using can produce an accurate Annual FOIA Report that is in compliance with the law and DOJ guidance. Agencies should also exercise due diligence in testing the systems they are using to produce Annual FOIA Reports and correct any identified deficiencies.

Recommendations

We recommend NARA Senior Management/Responsible Official:

Recommendation 7:   Clearly define the reporting requirements and report all of the fees collected by NARA offices or exclude NPRC total cost from the total reported cost reported to DOJ.

<u>Management Response</u>

NARA concurs with this recommendation. NARA's Chief FOIA Officer will exclude the NPRC costs from the total costs of the FOIA program reported to DOJ.

Target Completion Date: March 31, 2018

<u>OIG Analysis</u>

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Recommendation 8:   Implement time management tracking mechanism or processes that could clearly document and report NARA's annual FOIA cost related to FTEs.

<u>Management Response</u>

NARA concurs with this recommendation. To the extent not already in place, each FOIA program office will implement time management tracking process for reporting NARA's annual FOIA cost related to FTEs, The Chief FOIA Officer will also develop a means to conduct periodic assessments of tracking mechanisms or processes used by the component FOIA programs.

Target Completion Date: October 31, 2018

<u>OIG Analysis</u>

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Finding 4.   Processing Systems Not Updated or Centralized

NARA's varying technology processing systems used throughout the agency lack the capabilities that could enhance FOIA processing. This occurred because NARA has not invested in the technological improvements needed to process FOIA request more efficiently. As a result, technology impediments have increased FOIA processing times and limited the efficiency and effectiveness of NARA's FOIA program.

We found that nearly every component group used a different electronic processing system to log and track FOIA requests while some offices have not implemented a system at all. Most of the technology systems lacked off-the shelf redaction programs. The systems did not interface, which prevented case sharing amongst NARA components. There is no coordination between components and employees maybe duplicating their efforts in responding to FOIA requests, which contributes to wasted man hours and associated labor cost. There is also a significant cost in maintaining various technological systems.

In President Obama's FOIA memorandum, agencies were called to use modern technology to inform citizens about what is known and done by their Government.[30] Also, other guidance[31] and best practices suggest that agencies should actively explore using technology to process FOIA requests, and for those agencies using a decentralized process, efforts should be made to ensure that the entire agency utilizes technology to process requests.[32] FOIA processing is a decentralized operation at NARA and almost all components used different technological systems for processing FOIA requests. Currently NARA has multiple systems being used to process FOIA requests across 27 different components.[33] The systems also have various processing capabilities and limitations. For example, RD-F uses the Archival Declassification Review and Redaction System and Unclassified Redaction and Tracking System (ADRRES/URTS),[34] which has a redaction tool included in the software. AFN-M uses the Case

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[30] Barack Obama, Presidential Memorandum, "Transparency and Open Government", The White House, January 21, 2009.

[31] Peter R. Orszag, Office of Management and Budget, Memorandum 10-06, "Open Government Directive", December 8, 2009.

[32] DOJ OIP Guidance and suggest Best Practices for Improving Transparency, September 1, 2010.

[33] RD-F logs and tracks all FOIA request for access to archival records of executive branch agencies held at NARA facilities in Washington, DC and College Park, MD. Each Research Services field location operate their own program including record processing and access to records by the public. Requesters are asked to submit their written FOIA request to the Archival Director of each facility. 13 Presidential Libraries maintain records and requesters submit written FOIA request to each library. Two record centers, AFN-M and AFN-C maintain military and civilian records and requesters submit written FOIA request to each record center.

[34] NARA's systems for tracking documents undergoing systematic declassification review, as well as documents requested under the Freedom of Information Act.

Management and Reporting System (CMRS), which does not have redaction capabilities. AFN-C uses the Performance Management Reporting System's (PMRS)[35] web application located in Zenworks to capture their FOIA cases. Field locations of Research Services use Microsoft Access to track FOIAs with no redaction capabilities and the Presidential Libraries also use Microsoft Access to track FOIAs and use software REDAX or Highview to redact PII. NGC utilizes FOIA online to track and respond to FOIA requests, in conjunction with a Microsoft Access database. NGC is in the process of ending the use of Microsoft Access as a tracking database and its redactions are accomplished by using URTS or Adobe Acrobat Pro.

NARA could not estimate the total annual cost to maintain the various systems. The OIG requested that NARA officials provide the estimated annual cost as early as April 2017. These estimates were not provided as of the end of audit fieldwork. The various systems also do not interface with each other. Lack of system interface does not allow components to coordinate their efforts when processing duplicate FOIA request. Requesters are directed to send their FOIA request to the facilities in which they believe the records are located and can send multiple request to all 27 components. There is not a central database or a FOIA professional responsible for tracking, managing, and assisting in the coordination of requests involving multiple offices.

When asked about this issue, NARA officials stated that they do not have a centralized database or a FOIA professional in charge of managing or tracking duplicate FOIA request. However, FOIA professionals use NARA's Internal Collaboration Network (ICN) in an effort to coordinate multiple FOIA request submitted to components for the same records.[36] Using an internal social media network may not be a sufficient control to manage and coordinate multiple duplicate request received by components. NARA officials also stated that there is a need for components to duplicate their efforts when responding to a FOIA request because the records requested could be housed at various locations. However, without a centralized database and a FOIA professional coordinating activities, there is no assurance that FOIA professionals are not duplicating their efforts and adequate consistency occurs when responding to requesters by the different components.

The various systems also lacked advanced digital FOIA processing tools to include document search and collection, de-duplication, and automatic screening and redactions Processing FOIA requests without these advanced processing tools have been shown to increase production times and decrease efficiency. As a part of the DOJ's Open Government Plan, DOJ OIP partnered with the Civil Division with support of the Justice Management Division on a digital-FOIA pilot program and reported their findings in March of 2013. DOJ reported that the use of digital

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[35] PMRS is a data warehouse application that has no data of its own. Rather, it gathers data from 71 NARA sources for the purpose of combining and publishing them through a common user interface.
[36] The ICN is a place to collaborate on ideas and projects to share information and build relationships across departments.

tools to automate and execute searches for, and de-duplication, of located records significantly improved the speed of these procedures. When compared with conventional methods, the use of these tools will allow FOIA professionals to spend more time on the substantive review of records located for release, as well as allow more time to work on more cases overall.

We found that the processing systems used by NARA did not allow for consistent processing and redaction results across NARA components. NARA officials explained processing FOIA requests can be very labor intensive and time consuming. Redacting PII from records being released to the general public is also a manual task at some of the components visited. FOIA staff are required to physically search and obtain the records, review the records for PII on a page-by-page, line-by-line basis, and then manually redact the PII by using a black felt tip marker. This method of redacting is time consuming and also compromises federal employees' personal information and there is limited assurance that all non-releasable personal information is appropriately removed. The four instances previously mentioned, where NARA records may have been improperly redacted and PII information could have been released is an example of this limited assurance.

The varied processing systems also did not allow for the production of standardized communication, letters, and detailed FOIA statistical reports. The various systems were also unable to track FOIA request that were appealed. All FOIA appeals are handled by NGC and the cases are assigned a different tracking number. The FOIA cases are considered closed at the component groups regardless if it was appealed to NGC. We were informed by the managers at the components that they were unaware if cases have been appealed unless they are contacted by NGC to provide additional information. We also noted that the inability of these systems to electronically exchange data also complicated the process of compiling NARA's annual FOIA report to Congress (see Finding 3).

In 2016, NGC drafted a business case study for reducing FOIA backlogs, which reported that advanced FOIA technology could play an increased role in the processing of FOIA requests. Specifically, there were four basic FOIA functions where sophisticated tools could help improve the work flow: (1) searching for responsive records; (2) identifying information within the records that might be subject to FOIA exemptions; (3) redacting exempt information from the records; and (4) tracking FOIA requests and communicating with FOIA requesters. NARA also lacks the tools to visualize search results in a meaningful fashion that would allow like documents to be reviewed together instead of a list of responsive records in the hundreds of thousands.

There are plans to develop advanced search capabilities into the Electronic Records Archives 2.0 (ERA 2.0), which would include advance redaction and review capabilities, as part of the Digital Processing Environment (DPE). These new tools in ERA 2.0 are the first steps in automating the

process of finding and reviewing records requested under FOIA. However, these tools are still several years from being deployed. Also, a clear path and timeline for DPE tools to replace existing systems to allow for the digitization and processing of paper records in an electronic environment has not yet been established.

Although NGC's draft study report recommended that NARA increase attention and funding for developing these new tools in automating the FOIA process of finding and reviewing records, in which archivists could provide quality review and assurance; and that NARA should expedite the effort to more fully link its facilities electronically with the classified networks run by the military and intelligence agencies to realize increased efficiencies in transmitting information, the draft was never finalized, thus processes for improvements were never implemented. Considering the high volume of FOIA requests received[37] and processed, NARA needs an integrated system of internal and management controls to increase the efficiency and effectiveness of their FOIA program.

Recommendations

We recommend NARA Senior Management/Responsible Official:

> **Recommendation 9:**   Utilize updated processing mechanisms or processes to increase the efficiency and effectiveness of the FOIA Program.

> Management Response

> NARA concurs with this recommendation. Tools for FOIA processing will be deployed in the ERA 2.0 system. Although ERA 2,0 will go live in FY 18, FOIA related tools are not expected to be deployed until FY 19 or early FY 20.

> *Target Completion Date:* December 31, 2019

> OIG Analysis

> We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

> **Recommendation 10:** Develop an agency wide FOIA technology system or process that would enable coordination between components, provide document management and sharing, and standardized tracking and reporting of FOIA request.

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[37] NARA is among the top 15 federal agencies that consistently receive the most FOIA requests. NARA received 22,337 for request in FY 2014, 22,555 in FY 2015 and increased to 49,966 in FY 2016.

Management Response

NARA concurs with this recommendation. The Chief FOIA Officer will provide a plan for improving the use of technology for coordinating FOIA requests among the FOIA program offices, including sharing documents, and for ensuring that FOIA requests are accurately tracked and reported.

Target Completion Date: December 31, 2018

OIG Analysis

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Finding 5. FOIA Staff Not Adequately Trained

NARA's FOIA staff was not adequately trained in FOIA regulations and provisions. This occurred because an agency-wide FOIA training program for FOIA professionals and agency staff has not been implemented. As a result, NARA's FOIA process may lack efficiency and effectiveness in processing FOIA requests.

The Open Government Partnership Second Open Government National Action Plan for the United States of America recommends that all agency employees, not just FOIA personnel, have FOIA training in order to efficiently and effectively respond to FOIA requests.[38] DOJ Office of Information Policy (OIP) guidance directed agencies to take steps to ensure that all of their FOIA professionals attend substantive FOIA training at least once throughout the year. Moreover, it is essential that FOIA training programs cover core substantive aspects of FOIA administration, and application of the law and policy.[39]

OIP is the government's lead FOIA policy office and has developed a suite of FOIA resources designed to train all levels of the federal workforce[40] to understand their FOIA responsibilities. OIP regularly conducts specialized training sessions, as well as town hall meetings on a wide variety of FOIA related matters and topics each fiscal year. The training OIP provides focus on select FOIA provisions, recent court decisions, and refresher courses on the FOIA reporting requirements and is offered at no charge to federal agencies.

At four of the five NARA components visited, we found that the components had not developed a standardized training program to ensure that staff assigned FOIA processing duties were adequately trained annually as prescribed by DOJ guidance. RD-F was the only component visited with an implemented annual training plan for the unit. An RD-F employee development guide was developed for the staff. Each year a calendar of training and development sessions that are either hosted or recommended by RD-F is distributed to all employees within the unit. The training sessions were determined by supervisor assessment of area of improvements, critical elements, and feedback from the employees. However, additional training and opportunities hosted outside of RD-F or NARA were only communicated to staff on an ad hoc basis in coordination with NARA's Office of Leaning and Development (HL), NGC, and other NARA components. RD-F's training schedule for FY 2016 included several FOIA training

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[38] The United States Commitment to the Open Government Partnership and Open Government Fact Sheet & DOJ OIP, A New Suite of FOIA Training Resources For All Federal Employees, March 3, 2015.

[39] DOJ OIP Guidance for Further Improvement Based on 2013 Chief FOIA Officer Report Review and Assessment, Updated August 15, 2014.

[40] Agency Senior Executive Officials, program personnel, and FOIA professionals responsible for processing records for disclosure.

webinars and informational sessions concerning FOIA. RD-F had an effective training program that was implemented for their staff. Training opportunities hosted outside of RD-F and NARA were on an ad hoc basis only and the RD-F staff did not attend any formalized DOJ OIP training related to FOIA. Also, RD-F needs to ensure that all of their FOIA staff receive applicable FOIA training annually. Based on the FY 2016 training schedule, all FOIA employees were not required to attend the FOIA webinars and informational sessions. There was limited assurance RD-F FOIA staff actually attended the FOIA training that was presented in FY 2016.

AFN-M provided FOIA training to their staff under their new hire training plan. Under this training plan, core technicians received five hours of training for general job knowledge. Within the same five hours, employees are also trained on FOIA release of information.

LP-WJC did not have a training plan in place for their FOIA staff. Management stated that not every staff person directly works on FOIA, however, most staff indirectly work on FOIA in some capacity. Archivists and senior archivists are the staff that are most directly involved with FOIA. Every new staff person receives a binder with new employee information that includes information on Presidential Records Act (PRA) and FOIA. This binder only consisted of general information from NARA related to the two Acts. We also determined that archivists that process FOIA requests receive the more specific FOIA training. The archivists receive the Guide to the Freedom of Information book as well as links to DOJ/OIP FOIA updates and slides from DOJ, and information from NGC. Some of the archivists also participated in webinars during the past 3 years related to FOIA exemptions. Review of training records for the staff assigned FOIA responsibilities disclosed that many of them have not received any formal DOJ OIP FOIA training since 2012.

RL-SL and AFN-C did not have an official FOIA training program in place at all. Managers stated that training for FOIA professionals tasked with processing FOIA request was basically on-the-job training and the employees have not attended any formalized DOJ or in-house FOIA training in many years.

We found the training received by FOIA professionals at four out of the five judgmentally selected components was inadequate and insufficient. Specifically, FOIA training was not provided annually and prescribed by DOJ guidance. Training was only provided for general awareness of FOIA and did not provide specific details related to FOIA regulations, amendments, use of exemptions, or processing FOIA requests to ensure compliance with FOIA. FOIA supervisors and managers at the components also stated that they had either not received any formal FOIA training or had not received any training in several years.

NARA has also recently appointed FOIA Public Liaisons (FPLs) for each component that processes FOIA requests. FPLs serve as supervisory officials that requesters can raise concerns and shall assist in reducing delays, increasing transparency and understanding of status of

requests, and assisting in the resolution of disputes and report to the agency's Chief FOIA Officer. FPLs serve as a listening ear for FOIA requesters, and work to resolve FOIA disputes. FPLs are NARA's Office of Government Information Services' (OGIS)[41] first point of contact within an agency when a dispute arises and serve as OGIS' partners in resolving disputes.

We interviewed FPLs at the five components visited and each of the officials stated that they have not received FOIA training in approximately five years. The officials have also not received any skills training related to being appointed to the FPL position. OGIS offers dispute resolution skills training for the FPLs throughout the Federal government. However, NARA FPLs have yet to attend this important training. Without adequate training related to FOIA provisions including laws, regulations, and dispute resolution, NARA FPLs and other FOIA officials cannot effectively carry out their duties. NARA's lack of training is also a contributing factor to FOIA requests not being carried out timely. Low production can occur when employees do not know enough to perform their jobs with confidence. Unskilled employees could also spend considerable time seeking help to perform their jobs to the detriment of the work process, which could also lead to errors and increase the amount of time necessary to complete a FOIA request.

We also found that NARA staff members not assigned FOIA processing duties have also not been trained to better understand their FOIA responsibilities. The 2009 FOIA guidelines emphasizes that FOIA is everyone's responsibility and it is important that all federal employees have access to resources that help them understand their FOIA responsibilities.

Recommendations

We recommend NARA Senior Management /Responsible Official:

> **Recommendation 11:** Develop and implement a formal agency-wide FOIA training program.

> Management Response:

> NARA concurs with this recommendation. NARA will include a FOIA module to an agency-wide online training program.

> *Target Completion Date:* December 31, 2018

> OIG Analysis

> We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

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[41] OGIS is a FOIA resource for public and the government. Congress has charged OGIS with reviewing FOIA policies, procedures, and compliance of federal agencies.

Recommendation 12: Provide FOIA training to all NARA FPLs next fiscal year, if DOJ or OGIS courses are available.

Management Response:

NARA concurs with this recommendation. NARA will require all FOIA Public Liaisons to take training in FY 18, to the extent it is offered by DOJ or OGIS

Target Completion Date: December 31, 2018

OIG Analysis

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Recommendation 13: Require management to certify all employees receive FOIA training.

Management Response:

NARA concurs with this recommendation. The Chief FOIA Officer will ensure that a FOIA training module is included as part of a newly developed mandatory, agency-wide training course. The LMS system will provide the certification that the training was completed.

Target Completion Date: December 31, 2018

OIG Analysis

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Finding 6.   Policies and Procedures Outdated and Lack Consistency

NARA's current policies and procedures are outdated and lacked consistency across
components. This occurred because NARA senior management did not periodically review and
update their FOIA policy, which help to ensure that components complied with applicable laws
and regulations. As a result, NARA lacks a consistent guide to oversee components efforts in
effectively responding to FOIA requests. There is also limited assurance that component groups
are effectively responding to these requests and adhering to all FOIA laws and regulations.

The Government Accountability Office's (GAO) Standards for Internal Control in the Federal
Government emphasizes the importance for management to periodically review policies,
procedures and related control activities for continued relevance and effectiveness in achieving
the entity's objectives and addressing related risk. It also emphasizes the importance to
document the policies and procedures to provide a reasonable assurance that activities comply
with applicable laws and regulations.[42]

We found that the Chief FOIA Officer has not updated FOIA policies or procedures. NARA
also does not have any current agency-wide policies or procedures governing FOIA. NARA
officials stated that NARA Directive 1602 and the NARA FOIA Guide provide components with
policy guidance on administering FOIA and that procedures that result from policy for each of
the decentralized components are documented through the component's SOPs. FOIA policy for
NARA is authored by NGC since the General Counsel is the Chief FOIA Officer for the agency.
NARA Directive 1602, which provides policy guidance for administering FOIA for NARA, was
last updated on July 28, 2003, and other FOIA policies including the FOIA Guide are in draft
and have been for a number of years. NARA's plans are to address the FOIA policies and
procedures during the current fiscal year. However, as of May 2017, policies and procedures
have not been released. The current policies and procedures are still in draft and have not been
updated or finalized.

Since NARA last updated their FOIA guidance in July 2003, there have been important changes
in FOIA law that have occurred, yet the guidance has not been updated to reflect these changes.
Particularly, new FOIA regulations, amendments, Presidential executive orders, and
memorandums have been issued. The new regulations and amendments include the Open
Government Act of 2007,[43] and Executive Order 13392.[44] President Obama also issued two

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[42] GAO-14-704G, §§ 12.05.
[43] Open Government Act, Public Law No. 110-175, December 31, 2007.
[44] Executive Order 13392, Improving Agency Disclosure of Information, December 14, 2005.

memorandums in January 2009[45] that focused on increasing the amount of information made public by the government. The Attorney General also issued FOIA guidelines in March 2009 that echoed President Obama's call for increased disclosure of government information.[46]

More recently, Congress passed amendments to FOIA and on June 30, 2016, President Obama signed into law the FOIA Improvement Act of 2016. This new act addressed a range of procedural issues, including requiring that agencies establish a minimum of 90 days for requesters to file an administrative appeal and be provided dispute resolution services at various times throughout the FOIA process, amends the use of exemptions, added the new FOIA Council, and two new elements to agency annual FOIA reports.[47]

Without updated and centralized policies and procedures addressing FOIA, NARA lacks an agency wide resource to address commonly encountered problems or issues when components respond to FOIA request; and also lacks consistency when using FOIA exemptions. For example, one component could withhold records under one of the nine FOIA exemptions of mandatory disclosure. However, a different component could release the same or similar records without claiming an exemption and disclose information which would substantially harm national defense, individual privacy interest, business proprietary information, or the efficient operation of government functions.

Separation of responsibilities for establishing FOIA policy by the 27 component groups is also problematic. In order to be consistent, SOPs and guidelines are critical. This is especially important considering NARA's decentralized FOIA operation where searches and reviews are conducted by so many different components and by archivists that may be subject matter experts in the subject area of the documents being requested, but may know little about the FOIA laws and regulations due to limited training received. Updated agency-wide policies and procedures would establish some basic requirements every employee should know before answering a FOIA request.

When this issue was discussed with NARA officials, they agreed that FOIA policies and procedures need to be updated. However, they believe that each component is unique and serves different functions related to NARA and processing of FOIA requests. They believe each component needs the latitude to implement SOPs to effectively manage their FOIA case logs. Written centralized policies and procedures are important for consistency and continuity between components. The centralized policies and procedures are also important because they increase the likelihood that, when organizational changes occur, institutional knowledge is shared with

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[45] Presidential Memorandum, Transparency and Open Government, January 21, 2009 and Presidential Memorandum, Freedom of Information Act, January 21, 2009.
[46] Attorney General Eric Holder, Comprehensive FOIA guidelines, March 19, 2009.
[47] FOIA Improvement Act of 2016, Public Law No. 114-185.

new staff. These policies would also increase the efficiency and effectiveness of components responding to FOIA requests and provide coordination between components and clear guidance to consistently apply FOIA provisions.

Recommendations

We recommend NARA Senior Management/Responsible Official:

Recommendation 14: Oversee the development of updated agency-wide FOIA guidelines that include procedures for processing complex requests, multiple office requests, applying exemptions, and expediting processes.

Management Response

NARA concurs with this recommendation. The Chief FOIA Officer will update NARA 1602.

Target Completion Date: December 31, 2018

OIG Analysis

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Recommendation 15: To the extent necessary, require each NARA component to develop a plan for processing FOIA requests that conforms with and implements the updated FOIA guidelines and ensure periodic updates of FOIA policies and procedures to incorporate any new changes in laws and regulations.

Management Response

NARA concurs with this recommendation. Each NARA FOIA program office will review its processing guides, in coordination with the updating of NARA 1602, and determine whether any updates are necessary. The Chief FOIA Officer will also develop a means to conduct periodic reviews of processing guides

Target Completion Date: December 31, 2018

OIG Analysis

We consider NARA's proposed actions responsive to our report recommendation. This recommendation will remain open and resolved, pending completion of the corrective actions identified above.

Appendix A – Acronyms

ADRRESS   Archival Declassification Review and Redaction System
AFN-C   Civilian Record Center
AFN-M   Military Personal Records
CMRS   Case Management and Reporting System
DPE   Digital Processing Environment
DOJ   Department of Justice
ERA 2.0   Electronic Records Archives 2.0
FOIA   Freedom of Information Act
FPL   FOIA Public Liaisons
FTE   Full-Time Equivalent
FY   Fiscal Year
GAO   The Government Accountability Office's
HL   Office of Leaning and Development
ICN   Internal Collaboration Network
IT   Information Technology
LP-WJC   William J Clinton Library
NARA   National Archives and Records Administration
NGC   Office of General Counsel
OGIS   Office of Government Information Services
OIG   Office of Inspector General
OPF   Official Personnel Folders
OIP   Office of Information Policy
PII   Personally Identifiable Information
PMRS   Performance Management Reporting System
PRA   Presidential Records Act
QA   Quality Assurance
QPS   Quality Performance Standards
RD-F   Special Access/FOIA Staff
RL-SL   Archival Operations – St. Louis
SOPs   Standard Operating Procedures
URTS   Unclassified Redaction and Tracking System

Appendix B – Management Response

NATIONAL
ARCHIVES

Date: SEP 26 2017

To: James Springs, Inspector General

From: David S. Ferriero, Archivist of the United States

Subject: Management's Response to OIG Report 17-AUD-16, *Audit of NARA's FOIA Program*

Thank you for the opportunity to provide comments on this final report. We greatly appreciate your willingness to meet on several occasions and to further clarify language in the report in response to our input.

We concur with most of the conclusions in your report. You correctly point out that NARA has a significant FOIA backlog of over 4,000 cases in certain archival programs, some of which are nearly 20 years old. You also identified several other areas in need of improvement, including updating the NARA FOIA Directive and the need to provide better accounting of our annual FOIA costs and the collection of fees in certain locations.

As you know, we do not agree that the NARA FOIA program should be operationally centralized, given the unique requirements for how NARA generally manages access to records under the Federal Records Act, the Presidential Records Act, and for military and civilian personnel records at the National Personnel Records Center (NPRC), where FOIA is only one of multiple ways in which we provide access to records. We do, however, agree that we should consider implementing centralized management of FOIA compliance and performance, to include developing agency-wide policies and procedures, implementing FOIA initiatives and corrective action plans, and providing

NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION
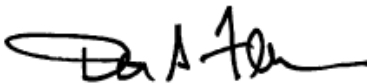
8601 ADELPHI ROAD
COLLEGE PARK. MD 20740-6001
www.archives.gov

training to staff. This will be part of the review completed in response to Recommendation 4.

We also do not agree with the statements in the report that there is "a lack of senior management involvement over the FOIA program." Our Chief FOIA Officer is the General Counsel, who serves on the Executive Leadership Team and the Management Team and who also meets with me and the Deputy Archivist on a monthly basis to discuss FOIA and other programs. However, I have charged the Chief FOIA Officer with developing a plan to increase his active oversight of the agency's FOIA programs.

It is also important to note that there is no basis to believe that the NPRC actually improperly redacted and released any PII in the examples cited in the report. As we have already explained, the four copies that were shared with the OIG, in which redacted information was visible, were not the copies that were released to the requesters, which would have been further redacted to ensure against any such release of PII. We agree, however, that NPRC's policies need to be clarified with respect to how it maintains records of what was provided to the requester.

We concur with the 15 recommendations in this audit, and in response, the attachment provides a summary of our proposed actions. As each recommendation is satisfied, we will provide documentation to your office. If you have questions about this action plan, please contact Kimm Richards at kimm.richards@nara.gov or by phone at 301-837-1668.

DAVID S. FERRIERO
Archivist of the United States

Attachment

Action Plan Response to OIG Report:
17-AUD-16, *Audit of NARA's FOIA Program*

Recommendation 1: We recommend NARA Senior Management/Responsible Official implement effective internal controls over funds collected, to include proper segregation of duties and managerial reviews at all components including AFN-M.

Planned Action: As soon as this deficiency was identified by the OIG Auditor, NPRC implemented a process change to segregate the funds collection and managerial review. This was presented to the auditor before he completed his audit at NPRC. NPRC will incorporate this new process in the latest version of the NPRC directive guiding the operations of the Federal Record Center's Research Room at Archives Drive.

Target Completion Date: December 31, 2017

Recommendation 2: We recommend NARA Senior Management/Responsible Official ensure effective and systematic quality control system for components tasked with processing FOIA request to include periodic monitoring.

Planned Action: To the extent not already in place, each program office will establish a quality control system for processing FOIA requests that meets the needs of the office. The Chief FOIA Officer will also develop a means to conduct periodic monitoring of FOIA work by components.

Target Completion Date: October 31, 2018

Recommendation 3: We recommend NARA Senior Management/Responsible Official establish and document clear responsibilities for managing and overseeing the agency's FOIA program.

Planned Action: The Chief FOIA Officer will update NARA 1602 and the FOIA Reference Guide.

Target Completion Date: December 31, 2018

Recommendation 4: We recommend NARA Senior Management/Responsible Official finalize the agency-wide internal review and needs analysis of the FOIA program to identify all vulnerabilities and resource needs to effectively manage the FOIA program. If needed seek authority to acquire additional resources needed to improve the timeliness of FOIA responses.

Planned Action: The Chief FOIA Officer will finalize the internal review, and make appropriate recommendations, including considering the centralization of FOIA management to include developing agency-wide policies and procedures, implementing FOIA initiatives and corrective action plans, and providing training to staff.

Target Completion Date: December 31, 2018

Recommendation 5: We recommend NARA Senior Management/Responsible Official, based on the needs analysis, develop a corrective action plan and strategies for effectively reducing FOIA processing delays and the backlog of FOIA requests.

Planned Action: Based on the recommendations developed in recommendation 4, the Chief FOIA Officer will develop a corrective action plan to address FOIA processing delays and backlogs.

Target Completion Date: December 31, 2018

Recommendation 6: We recommend NARA Senior Management/Responsible Official establish controls for periodic reviews of the corrective action plan to ensure that the plan is effective and is working as intended.

Planned Action: The Chief FOIA Officer will establish controls for the periodic review of the corrective action plan.

Target Completion Date: December 31, 2018

Recommendation 7: We recommend NARA Senior Management/Responsible Official clearly define the reporting requirements and report all of the fees collected by NARA offices or exclude NPRC total cost from the total reported cost reported to DOJ.

Planned Action: The Chief FOIA Officer will exclude the NPRC costs from the total costs of the FOIA program reported to DOJ.

Target Completion Date: March 31, 2018

Recommendation 8: We recommend NARA Senior Management/Responsible Official implement time management tracking mechanism or processes that could clearly document and report NARA's annual FOIA cost related to FTEs.

Planned Action: To the extent not already in place, each FOIA program office will implement a time management tracking process for reporting NARA's annual FOIA cost related to FTEs. The Chief FOIA Officer will also develop a means to conduct periodic

assessments of tracking mechanisms or processes used by the component FOIA programs.

Target Completion Date: October 31, 2018

Recommendation 9: We recommend NARA Senior Management/Responsible Official utilize updated processing mechanisms or processes to increase the efficiency and effectiveness of the FOIA Program.

Planned Action: Tools for FOIA processing will be deployed in the ERA 2.0 system. Although ERA 2.0 will go live in FY18, FOIA related tools are not expected to be deployed until FY19 or early FY20.

Target Completion Date: December 31, 2019

Recommendation 10: We recommend NARA Senior Management/Responsible Official develop an agency wide FOIA technology system or process that would enable coordination between components, provide document management and sharing, and standardized tracking and reporting of FOIA requests.

Planned Action: The Chief FOIA Officer will provide a plan for improving the use of technology for coordinating FOIA requests among the FOIA program offices, including sharing documents, and for ensuring that FOIA requests are accurately tracked and reported.

Target Completion Date: December 31, 2018

Recommendation 11: We recommend NARA Senior Management/Responsible Official develop and implement a formal agency-wide FOIA training program.

Planned Action: NARA will include a FOIA module to an agency-wide online training program.

Target Completion Date: December 31, 2018

Recommendation 12: We recommend NARA Senior Management/Responsible Official provide FOIA training to all NARA FPLs next fiscal year, if DOJ or OGIS courses are available.

Planned Action: NARA will require all FOIA Public Liaisons to take training in FY18, to the extent it is offered by DOJ or OGIS.

Target Completion Date: December 31, 2018

Recommendation 13: We recommend NARA Senior Management/Responsible Official require management to certify all employees receive FOIA training.

Planned Action: The Chief FOIA Officer will ensure that a FOIA training module is included as part of a newly developed mandatory, agency-wide training course. The LMS system will provide the certification that the training was completed.

Target Completion Date: December 31, 2018

Recommendation 14: We recommend NARA Senior Management/Responsible Official oversee the development of updated agency-wide FOIA guidelines that include procedures for processing complex requests, multiple office requests, applying exemptions, and expediting processes.

Planned Action: The Chief FOIA Officer will update NARA 1602.

Target Completion Date: December 31, 2018

Recommendation 15: We recommend NARA Senior Management/Responsible Official to the extent necessary, require each NARA component to develop a plan for processing FOIA requests that conforms with and implements the updated FOIA guidelines and ensure periodic updates of FOIA policies and procedures to incorporate any new changes in laws and regulations.

Planned Action: Each NARA FOIA program office will review its processing guides, in coordination with the updating of NARA 1602, and determine whether any updates are necessary. The Chief FOIA Officer will also develop a means to conduct periodic reviews of processing guides.

Target Completion Date: December 31, 2018

Appendix C – Report Distribution List

Archivist of the United States
Deputy Archivist of the United States
Chief Operating Officer
Deputy Chief Operating Officer
Chief of General Counsel
Chief of Management and Administration
Chief Information Officer
Deputy Chief Information Officer
Accountability
United States House Committee on Oversight and Government Reform
Senate Homeland Security and Governmental Affairs Committee

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　　　　NARA
　　　　P.O. Box 1821
　　　　Hyattsville, MD 20788-0821