

ADVISORY COMMITTEE
— ON THE —
RECORDS OF CONGRESS

FIFTH REPORT
DECEMBER 31, 2012





Advisory Committee on the Records of Congress

(Established under Authority of Public Law 101-509, November 5, 1990)

Fifth Report
December 31, 2012

Compiled by Karen Paul, Archivist, United States Senate;
Robin Reeder, Archivist, United States House of Representatives; and
Richard Hunt, Director, Center for Legislative Archives at the
National Archives

Under the direction of

Secretary of the Senate Nancy Erickson, Chairman

and

Clerk of the House of Representatives Karen L. Haas,
Vice Chairman

Ex Officio Members

Hon. Nancy Erickson, **Chair** (Secretary, U.S. Senate, Washington, DC 20510-7100)

Hon. Karen L. Haas, **Vice Chair** (Clerk, U.S. House of Representatives, Washington, DC 20515-6601)

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

Donald A. Ritchie (Historian, U.S. Senate, Washington, DC 20510-7108)

Matthew Wasniewski (Historian, U.S. House of Representatives, Washington, DC 20515-6701)

Appointed Members

Terry L. Birdwhistell (Dean of Libraries, University of Kentucky, Lexington, KY 40506) (*Senate Republican Leader*)

Sharon Leon (Director of Public Projects, Roy Rosenzweig Center for History and New Media and Research Associate Professor in the History and Art History Department, George Mason University, Fairfax, VA 22030) (*Clerk of the House*)

Jeffrey W. Thomas (Archivist of the Ohio Congressional Archives, Ohio State University, Columbus, OH 43210-1286) (*Speaker of the House*)

Sheryl B. Vogt (Director of the Richard B. Russell Library for Political Research and Studies at the University of Georgia Libraries, Athens, GA 30602) (*Secretary of the Senate*)

Steven D. Zink (Vice Chancellor, Information Technology of the Nevada System of Higher Education, Las Vegas, NV 89103-0137) (*Senate Democratic Leader*)

Preface

“Honor the past as we create the future.”

David S. Ferriero, Archivist of the United States, in

[AOTUS: Collector in Chief](#),

August 24, 2012 at <http://blogs.archives.gov/aotus>

These words, written by Archivist of the United States David Ferriero for the [International Council on Archives Congress](#) in Brisbane, Australia, capture the spirit of this *Fifth Report*. His remarks focus on social media in government records and the role that the National Archives plays in preserving them. Six years ago, the Advisory Committee in its *Fourth Report* (2006) voiced particular concern about the preservation of congressional electronic records, documents, and e-mail. What could be done to acquire and preserve them? How best to begin this process within a political environment that values confidentiality? What would be the first steps? What would become “best practices” for this new frontier?

Six years is a *very long time* in the digital age. By 2012, congressional archives are well down the path to preserving Congress’ digital history with implementation of the Congressional Records Instance of the Electronic Records Archive at the National Archives and systematic accessioning of electronic records. Building on traditional archival standards and guidance and targeting a wider audience using better communication tools, congressional archivists are creating the new electronic records archive of Congress. They are preserving a future for the past.

Most dramatically, congressional archivists, information technology administrators, and systems staff are partnering as never before. These new teams are working to devise better and more efficient ways to capture a moving historical record that resides on servers, social media platforms, or in the cloud. They are building more efficient ways for people to find congressional information. Whether the technological landscape consists of discontinued, evolving, or emerging systems, the

archivist is playing a new leading role, that of guiding IT administrators and users down the path of preservation. The following summary and full report detail the beginnings of this fascinating journey as congressional archives evolve from honoring the past, to both honoring the past *and* creating the future digital archives. ■

Executive Summary

Nov 5, 2012

In this *Fifth Report* to Congress, the Advisory Committee on the Records of Congress assesses progress made in the preservation of the records of Congress and its Members over the past six years, evaluates the effectiveness of current programs, and highlights emerging challenges. This “every third Congress” report affords a special opportunity to mark where the committee began six years ago, where it is today, and what challenges lie ahead.

Notable accomplishments in preservation and access include the creation of a new, more prominent administrative status for the Center for Legislative Archives at the National Archives, more effective outreach to committees and Members, successful accessioning of the Joint Select Committee on Deficit Reduction’s records, a successful launch of the Congressional Records Instance (CRI) of the National Archives’ Electronic Records Archive (ERA), and adoption and implementation of the Task Force on Description’s report to improve on-line description of the records of Congress.

A continuous challenge is monitoring and anticipating the rapid adoption of nascent technologies by congressional offices, so that their electronic records can be effectively managed and archived. Rapid change in document management techniques and systems exacerbates format obsolescence issues and underscores the urgency of creating partnerships between archivists and technical staff. An emerging challenge is the exponential increase in the use of social media, which requires special efforts on the part of archivists, systems administrators, and directors of new media to appraise and capture these communications.

Details of these accomplishments and challenges are summarized by section.

Section I: Preservation of and Access to the Records of Congress features the Center for Legislative Archives’ new enhanced status within the National Archives administration in the Legislative Archives,

Presidential Libraries, and Museum Services office. This section also describes the widespread changes that have taken place in committee record-keeping practices over the past six years and the steps that have been taken to manage them through new forms of outreach and guidance.

Changes in managing the voluminous holdings of Congress (ca. 158,000 cubic feet of textual records and 11 terabytes of electronic records) are detailed along with an ambitious project to provide better on-line description of this expanding universe of records. An upward trend in the number of loans back to Congress indicates the growing importance of the collection to Congress itself. Efforts to improve declassification of classified congressional records are also outlined.

Emerging trends include the recognized need for trained records management/archival staff on committees; for archivists to work more closely with information technology staff to identify and capture permanent electronic records; for continued attention to the appraisal, improved description, and declassification of congressional records; and for better guidance on ways to establish proper and adequate records policies for legislative branch commissions.

Section II: Preservation of and Access to Members' Records notes a particular milestone in the passage of H. Con. Res. 307 in 2008. This joint effort on the part of the House and Senate has provided congressional archivists with a powerful tool with which to persuade Members to preserve the records of their service and to donate them to a research repository of their choice. Efforts to reach out to Members and staff are detailed and a growing number of successes are described. These efforts demonstrate that outreach must be ongoing and that it requires teamwork, vigilance, and an endless supply of good ideas that can be employed consistently and continuously over the life cycle of a Member's term of service.

Much new outreach has focused on newly opened offices and on offices that are closing with the result that a growing number of Members are electing to preserve their collections and donate them to a research repository when they retire. Increased use of personal visits to offices,

new forms of printed and on-line guidance, use of more efficient communication tools, and more robust staffing of the House and Senate Archivists' offices have facilitated outreach efforts and helped to make them more effective.

Perhaps nothing is contributing more to the preservation of Members' records than the hiring of archivists/records managers or the provision of specialized archival training to current staff. The resulting improvements to electronic records preservation in particular and to the records of offices that are closing are described in detail.

Challenges continue to remain in the area of preservation of Members' and their staff's electronic documents and e-mail. While presidential e-mail has been retained since the Reagan administration, the record of Members in this regard is not complete. Since most work is conducted via e-mail, not including it in a congressional collection creates a huge historical gap. It is likely that the documentation showing how the Member interacts with staff will be missing.

New challenges exist particularly with Members' and staff's growing use of social media communications, which are not easily captured for archival purposes. The complex and continually evolving nature of electronic records creation and storage will continue to present archiving challenges into the foreseeable future.

Section II also chronicles the life of the "Gift Tax Issue," a problem that has existed since the 106th Congress and remains unsolved. However, strategies have been put into place to mitigate its effects. This section underscores the need for ongoing outreach to Members and their staff directors over the course of the Members' careers. While some staff remain with Members for long stretches, the majority do not, and staff turnover can be unpredictable and frequent.

Section III: Electronic Records Preservation at the Center for Legislative Archives describes the development of the Congressional Record Instance (CRI) of the National Archives Electronic Records Archive (ERA) since 2008. The CRI is a separate portion of ERA dedicated to the processing, safekeeping, and preservation of electronic

records of the House and Senate that has been customized to fit the specific security protections, access, and reference needs of the House and Senate. As of fall 2012, 28 terabytes of data have been transferred for ingestion into this system, the result of a remarkable rate of growth in electronic holdings of nearly 400 percent over the past four years. A separate storage system will preserve congressional classified committee and legislative branch commission records. The implementation of a server-virtualization capability will facilitate preservation of legacy applications and data to preserve records from a variety of storage media transferred to the Center prior to the creation of the CRI. The past six years also has seen the implementation of end-of-Congress web harvests, beginning with the 109th Congress, which are available at www.webharvest.gov.

Section IV: Collaborations—The Congressional Papers Roundtable and the Association of Centers for the Study of Congress summarizes the history of collaborations between the Advisory Committee and two significant organizations, the Congressional Papers Roundtable (CPR, established 1986) and the Association of Centers for the Study of Congress (ACSC, established 2004). While the Roundtable preceded the Advisory Committee, the Advisory Committee, in its *Third Report*, recommended the development of statewide public policy centers that include a strong archival component and thus helped foster the growth of centers. Collaboration between and among members of these three organizations has produced award-winning publications, specialized education venues, scholarships, innovative public policy programs, and new insights into research methods and sources. This section recognizes the contributions of the CPR and the ACSC, working in concert with the Advisory Committee, to preserve the documentation of Congress and the legislative branch and to promote programs that advance scholarly use and public awareness of the collections.

Section V: Educational and Professional Outreach at the Center for Legislative Archives portrays the Center's development of public programs with two significant organizations: the United States Association of Former Members of Congress (FMC) and the Bipartisan Policy Center (BPC). It also highlights the Center's exhibit work, especially in the Capitol Visitor

Center. Together the Visitor's Center, the FMC, and the BPC allow the Center to reach audiences in greater numbers and to greater effect.

This section also focuses on the many ways the Center reaches out to scholars to promote research in the records of Congress. The highest impact effort on this front was Archivist David S. Ferriero's creation of a research fellowship at the National Archives, with awards in 2011 and 2012 going to legislative archives researchers.

In addition, this section illustrates the Center's educational outreach program, including its work with local Washington-area schools and teachers and with state-based partners in Texas and Florida. Since its inception eight years ago under the leadership of Humanities Texas, the Center's work to train Texas educators how to use the records of Congress in the classroom has grown to several workshops each year for hundreds of teachers throughout the state. The Center is also engaged in a major civic education initiative in Florida with the Lou Frey Institute of Politics and Government at the University of Central Florida. These workshops provide lessons on the Constitution, the Bill of Rights, the legislative process, and a variety of topics in congressional history for history and civics teachers.

This section also details the Center's public outreach through social media. In 2011, the Center began contributing to the National Archives' social media projects with a micro blog on Tumblr called *Congress in the Archives* at congressarchives.tumblr.com and with contributions to the National Archives' Flickr page.

In the past six years, the Advisory Committee notes substantial progress in the following areas:

Records Management and Administration

- Establishing the Center for Legislative Archives as an administrative unit on par with Presidential Libraries in order to better serve the special needs of the Congress.
- Increasing the staff of the House and Senate Archivists' offices in order to handle the growing demands of electronic records archiving.

- Developing more effective outreach to committees in the House and Senate resulting in increased accessions of both paper and electronic records.
- Increasing the effectiveness of outreach to staff through more individual office meetings and through use of seminars, listservs, and websites.
- Developing records transfer forms that comply with Describing Archives: A Content Standard (DACS) and mapping them for use in Archivists' Toolkit management software.
- Increasing the number of professional archivists and trained archivists/records managers on committees and in Members' offices who are providing record-keeping guidance and continuity through frequent staff changes.
- Creating committee archivist/systems administrator teams to work on committee electronic records backlogs and to manage the growing volume of electronic records.
- Establishing a model for future joint committee/legislative commission records management and archiving through the example of the Joint Select Committee on Deficit Reduction.

Preservation

- Authoring and shepherding through passage of H. Con. Res. 307, 110th Congress, that encourages Members of Congress to secure their papers for archival preservation and donate them to an archival repository of their choice.
- Implementing the Congressional Records Instance of the Electronic Records Archive in 2008, commencing regular accessioning of congressional electronic records, and creating two new staff positions to manage and develop the CRI.
- Initiating end-of-Congress web harvests of all congressional public sites and providing public access at www.webharvest.gov.
- Developing more effective outreach to Members both when the office opens and when retirement is announced.
- Increasing the number of Members who hire professional archival help when they close the office.

- Increasing the number of retiring Members who preserve and donate the records of their service to a research institution.
- Establishing a model for future replevin through the example of the successful retrieval of House Judiciary Committee alienated records.
- Using the National Archives Holdings Management System to manage and track accessions and loans of congressional records.

Access

- Designing and implementing an ambitious finding aid project at the Center for Legislative Archives featuring newly designed workflows, use of the Archivists' Toolkit content management system, and acquiring two additional records description professionals to manage it.
- Implementing a researcher database at the Center for Legislative Archives to collect information about reference usage and research trends to target description project work plans on high-demand records.
- Working with the Director of the Information Security Oversight Office of the National Archives and the National Declassification Center to prioritize declassification of classified congressional records over fifty years old.
- Promoting collaborations with the Congressional Papers Roundtable and the Association of Centers for the Study of Congress.
- Enhancing scholarly access to congressional sources through creation of the National Archives' Legislative Archives Fellowship and Center for Legislative Archives staff participation in scholarly conferences.
- Enhancing educational outreach to improve the teaching of American History and civics using primary sources and partnering with Texas Humanities, the Lou Frey Institute of Politics and Government at the University of Central Florida, other partners and schools; and adding a professional staff member to manage the outreach program.
- Enhancing the quality and quantity of National Archives Public Programs through the Center for Legislative Archives' partnership with two important organizations: the United States Association of Former Members of Congress (FMC) and the Bipartisan Policy Center (BPC).

- Providing integral support and expertise to the Capitol Visitor Center exhibits and gallery talks since its opening in December 2008.
- Creating a microblog called Congress in the Archives at <http://congressarchives.tumblr.com> to which the Center's blogger posts three to five times a week.

To improve the management, preservation, and access to Members' papers and committee records, the Advisory Committee recommends the following:

Records Management

- Continue to recommend that offices hire professional archivists/ records managers to improve their ability to preserve electronic records or to provide archival training to current staff with history or public policy backgrounds to perform the work.
- Continue to build bridges with the congressional IT (Internet Technology) community.
- Continue to work with House and Senate leaders to promote archiving and serve as strong examples
- Continue to provide and improve guidance on e-mail and social media archiving to the congressional community.
- Continue to provide training in digital archiving to the Center for Legislative Archives, House, and Senate Archivists as appropriate.
- Continue investigation of legislative branch commissions for the purpose of proposing solutions to records management and other issues identified by House and Senate counsels.

Preservation

- Continue to develop and expand the Congressional Records Instance (CRI) of the Electronic Records Archive (ERA) to ingest the electronic records backlog transferred to the Center for Legislative Archives prior to creation of the CRI; ingest new and increasing volumes of electronic records transferred by congressional records creators; and develop the model points as outlined in Section III. A of this report.
- Continue to monitor resource and access issues associated with the CRI.

- Continue to reach out to the Senate Democratic and Republican Policy Committees to encourage archiving of their records.
- Continue with the end-of-Congress web harvests of congressional sites and additional web harvests, as appropriate. (Ex., the Joint Deficit Reduction Committee.)
- Continue to collaborate with the Congressional Papers Roundtable of the Society of American Archivists and the Association of Centers for the Study of Congress to further advances in the preservation and use of the records of Congress.

Access

- Continue work and report on progress of the Next Generation Finding Aid project.
- Continue to monitor and improve the accessioning, description, and declassification of congressional classified records, especially staff notes and memos.
- Continue development of the National Archives Holdings Management System to implement full use of bar codes for the loan of congressional records.
- Continue work of the Descriptive Tool Task Force with the goal of implementing an integrated accessioning and description system for House and Senate records.
- Continue to partner with the Association of Former Members of Congress (FMC), the Bipartisan Policy Center (BPC), and other organizations to provide forums on civic issues and initiatives.
- Continue outreach to scholars through participation in professional meetings and symposia.
- Continue outreach to educators and students through teacher institutes, student workshops, and the development of educational materials on the history of Congress.
- Continue outreach to the public through exhibits and gallery talks at the Capitol Visitor Center, the National Archives *Public Vaults*, and other venues as appropriate. ■

Table of Contents

I. PRESERVATION OF AND ACCESS TO THE RECORDS OF CONGRESS	1
A. The Center for Legislative Archives New Status: Legislative Archives, Presidential Libraries, and Museum Services (LPM).....	2
B. Outreach to Committees	3
C. Policy Committees and Party Conferences.....	10
D. Classified Records of Congress.....	11
E. Joint Select Committee on Deficit Reduction	13
F. New Accessions of Older Records.....	13
G. Accessions and Loans	15
H. Center for Legislative Archives and the National Archives Holdings Management System	19
I. Finding Aid Project	19
J. Legislative Commissions	24
II. PRESERVATION OF AND ACCESS TO MEMBERS' RECORDS	27
A. Outreach to Members.....	28
B. Outreach to Staff.....	33
C. Gift Tax Issue.....	37
D. Continuing Electronic Records Challenges	41
III. ELECTRONIC RECORDS PRESERVATION AT THE CENTER FOR LEGISLATIVE ARCHIVES	43
A. Congressional Records Instance (CRI) of Electronic Records Archive (ERA).....	44
B. Preservation in Congressional Records Instance-Electronic Records Archive	46
C. Congressional Web Harvests.....	47

- IV. COLLABORATIONS — THE CONGRESSIONAL PAPERS
ROUNDTABLE AND THE ASSOCIATION OF CENTERS
FOR THE STUDY OF CONGRESS. 49**

- V. EDUCATIONAL AND PROFESSIONAL OUTREACH AT THE
CENTER FOR LEGISLATIVE ARCHIVES. 57**
 - A. Public Programs and Special Events 58
 - B. Outreach to Scholars 60
 - C. Outreach to Educators 65
 - D. Outreach to the Public 69

- APPENDICES**
 - A. Presidential Memorandum —
Managing Government Records 73
 - B. Statement of Majority Leader Harry Reid:
Preserving Electronic Records 79
 - C. Statement of Nancy Erickson, Secretary of the Senate. 83
 - D. Intelligence Authorization Act for Fiscal Year 2012 85
 - E. Congressional Resolution 307 89
 - F. Congress Week Letter 91
 - G. Biographies. 95
 - H. Statute Establishing Advisory Committee. 103

Section I: Preservation of and Access to the Records of Congress



I. Preservation of and Access to the Records of Congress

A. The Center for Legislative Archives New Status: Legislative Archives, Presidential Libraries, and Museum Services (LPM)

The effort to create a more prominent and visible home for Congress' archives began in 1988 when the Center for Legislative Archives was established within the National Archives. The new name was a step in the right direction, but it was only in 1990 when the status of the director was upgraded, a specialist in congressional history was added, and a public outreach program was initiated that the name reflected a new reality. This new reality was to be nurtured by the newly created Advisory Committee on the Records of Congress. Ensuing years saw enhanced staffing and developing expertise with the careful support of the Advisory Committee. An important milestone was realized as a result of the interest and efforts of David S. Ferriero, the tenth Archivist of the United States.

Ferriero, confirmed by the U.S. Senate on November 6, 2009, was sworn in to his new office on November 13, 2009, and on November 16, his first morning on the job, attended a meeting of the Advisory Committee. He remarked that in the preliminaries to his confirmation hearing, and from his visits to Members' offices, he had heard nothing but high praise for the work the Center staff has provided concerning congressional records services, so he was particularly pleased to be launching his tenure as Archivist with the Advisory Committee. He said that his new position required a steep learning curve, but that he was a quick study and expected to hit the ground running and looked forward to the work ahead of him.

In June 2010, Ferriero announced that he had initiated a process to transform the National Archives and Records Administration's values, culture, and organization so that it could better face twenty-first century challenges. That process began by chartering the Archivist's Task Force on Agency Transformation, which reported its "Charter for

Change” in September. After gathering feedback from agency staff and external stakeholders, a Transformation Launch Team was chartered in November to present an implementation plan for the transformation, including a reorganization of the agency’s structure.

Following consultations with members of the Advisory Committee and others, Ferriero settled on the plan that created the office of Legislative Archives, Presidential Libraries, and Museum Services in 2011—the new institutional home for the Center for Legislative Archives. This new organization recognized the similarities between the Center and the Presidential Libraries as full-service archives for congressional and presidential records respectively, two of the major collections of non-federal agency records in National Archives’ holdings. It also reflected their close association to Congress and the White House based on the records services provided to these critical stakeholders. Both also provide public programs, exhibitions, and educational outreach based on their holdings, establishing common ground with Museum Services, which produces similar public offerings to advance the agency’s broader program of civic education.

This reorganization marked the culmination of many years of effort for legislative archives to achieve administrative parity with the Office of Presidential Libraries.

B. Outreach to Committees

Extending Outreach in the House

The House Office of Art and Archives (OAA, formerly House Office of History and Preservation) in the Office of the Clerk has three professional archivists on its staff, an increase of three-fold since the last Advisory Committee report. The increased staffing has enabled the office to be more proactive in its outreach to House offices through:

1. **Yearly committee records forums:** These forums instruct committee staff on the requirements and procedures involved in preparing committee records for transfer to OAA, and eventually to the Center for Legislative Archives at the National Archives. OAA is focusing more in the forums on electronic records by including

the electronic records staff from the Center for Legislative Archives. In the past, the Clerk only invited committee chairs to the forums; however, for the last few forums, OAA has also invited full committee ranking Members, subcommittee chairs, and subcommittee ranking Members. In 2011, there were twenty-two committee staff attendees from eleven committees; and in 2012, there were forty attendees from twenty-one committees, which included almost every House committee.

2. **Individual meetings with committees:** OAA has also reached out to committees to meet individually and to guide and advise them of OAA's revised records procedures, which include expanded and more current electronic records guidance, and provided committees with copies of OAA's recently updated committee records publications, forms, and new box labels. Improvements were made to the usability of the publications, forms, and labels and the publications are now available by print-on-demand and are easily updated, rather than through the Government Printing Office, as was done in the past. The forms, labels, and publications are also available on the Clerk's website.
3. **Preservation of electronic records and special media:** In 2007, OAA created an Electronic Records Task Force. The task force included various staff from committees, the Clerk's office, and the National Archives. The task force discussed best practices for capturing electronic records and also made recommendations of how these efforts should continue. OAA staff met with most of the House standing committees, and with the Center for Legislative Archives created a survey for committee staff to complete in order to gather information on the types of electronic records they create and the best way to preserve the records. Since the task force was created, OAA has received and transferred 19.3 gigabytes (GB), or 22,000 electronic files into the Congressional Records Instance. More recently, a change in the House rules at the beginning of the 112th Congress cites that videos of committee hearings are and will continue to be accessible through a portal hosted by the Library of Congress. OAA staff traveled with Committee on House Administration staff to the Library of Congress facility in Culpeper, Virginia, to be briefed on the preservation of audiovisual materials

and how they preserve and make the public access copies of committee videos publicly available. Clerk of the House Karen Haas has directed OAA to work with the Center for Legislative Archives to ensure that copies of the videos are preserved as part of the official records of the House. The Clerk sent letters to all committee chairs along with authorizations for the committees to sign, permitting the direct transfer of committee videos from the House Recording Studio to the Center for Legislative Archives. OAA has also been meeting individually with committees and electronic records staff from the Center for Legislative Archives to discuss transfer procedures for electronic records from committees through OAA to the Center. Since August 2012, OAA and the Center have met with seventeen committees (and minority staff for two committees).

As an extension of its service to the House community, the Office of the House Historian, in collaboration with the Clerk's Office of Art and Archives, is pleased to announce the arrival of a new web portal—history.house.gov—that integrates the history of the House, the art and artifacts that are part of the House Collection, and records and research materials that date back to the beginnings of Congress.

Among its many features, the History, Art & Archives website offers:

- Essays on the House's origins and traditions, as well as historical lists of its leaders and elected officers
- A searchable database of the art, artifacts, and images in the House Collection
- Finding aids for official House records
- Video and audio clips from the House's Oral History project that bring the stories of the institution to life
- An interactive U.S. map displaying Members who have served since the first Congress

Transitioning to Electronic Records in the Senate

At her first meeting as chair of the Advisory Committee in June 2007, Secretary of the Senate Nancy Erickson noted that the *Fourth Report* of the Advisory Committee (House Document No. 109-156, December 31,

2006) stressed the importance of electronic records preservation. She urged the committee to continue to focus on this issue.

This became a top priority in the Senate when the Congressional Records Instance (CRI) of the Electronic Records Archive (ERA) at the National Archives was launched in 2008. Prior to this time, the Senate had transferred 59 accessions of electronic records amounting to 73 GB. These records mainly came from a single committee, Homeland Security and Governmental Affairs, which had a professional archivist on staff. Meetings with staffs of all of the committees revealed voluminous electronic files backlogs, often dating back more than a decade. Several committees had not considered the fact that electronic files could be permanent records.

It became apparent from the interviews that the transition to electronic records archiving would be difficult. Electronic records management requires full cooperation from all committees and continuous educational effort within each of them. Its ultimate success involves professional archival appraisal and description.

To help committees make the transition, targeted management guidance was developed based on lessons learned from the Homeland Security Committee experience. (See Advisory Committee, Fourth Report, Appendix A, p. 53.) Additional guidance in the format of IT (information technology) training materials followed. Three basic “quick cards” comprise the package: “Is It a Historical Record?,” “How to Archive Papers Records,” and “How to Archive Electronic Records.” They are designed to be used by individual staff to prepare their records for archiving.

Help from the staff directors was enlisted via a PowerPoint briefing that emphasizes preservation of committee records in all formats. While this material has helped communicate the importance of record keeping to committee staff, it does not replace the effectiveness of a trained archivist who is dedicated to archiving electronic records, oversees the training of staff as they arrive and depart, describes electronic records fully, and assesses the adequacy of documentation.

Some committees immediately perceived the advantages of archival assistance. The Judiciary Committee's Democratic staff added an archivist, thus making it the first committee to have two archivists, one for the Republicans and another for the Democrats. Judiciary joined Finance, Foreign Relations, and Homeland Security and Governmental Affairs as committees with staff archivists. The Agriculture and HELP Committees followed in 2009, each adding a staff archivist. The Banking Committee added an archivist in 2010, and the Budget Committee added an archivist in 2011. There are now eight archivists serving on seven committees. This has had a positive effect on the quality of historical documentation from these committees. Unfortunately, the current budget situation has prevented some committees from adding an archivist.

Successful archiving of committee electronic records also benefitted from the addition of archivists to the Senate Historical Office staff by Secretary of the Senate Erickson. In 2009 the position of Deputy Archivist was created, and a half-time position was added in 2011. With the help of these two individuals, the Archivist was able to offer direct archiving assistance for electronic records to Senate committees that have not been able to hire professional help.

The Senate Archivists are currently working on the electronic records backlogs of six different committees, dating from the early 1990s. There are now thirteen of the seventeen standing committees engaged in archiving electronic records. Between 2006 and 2012, the Senate went from one committee (Homeland Security and Governmental Affairs) to 75 percent of committees archiving their electronic records. Calendar year 2011 saw a total of 463 GB, in 114 accessions, transferred to the Center for Legislative Archives. In 2012 the Senate transferred 3.4 terabytes (3,422 GB) of electronic records in 167 accessions to the Center.

This effort is supported by the leadership and benefits greatly from this support. On December 11, 2011, Senator Harry Reid read a statement into the *Congressional Record* commending the president for initiating a records management reform in executive branch agencies aimed at preserving electronic records. He proudly went on to say that "the

operations of every Senate office have been transformed over the last decade. Our greater reliance on electronic communication and records systems has increased the need for preservation planning” and that “records generated digitally in the 21st century will require diligent attention if they are to survive for future use.” On March 22, 2012, Secretary of the Senate Nancy Erickson testified before the Senate Appropriations Committee, Subcommittee on the Legislative Branch: “I am pleased to report that the Senate began well before [the executive directive] and is well ahead of the Executive Branch. The Senate has preserved an average of three to four thousand feet of textual records for each Congress. Those paper records have been supplemented by 2.6 terabytes of electronic records, and committee records that are stored at the Center for Legislative Archives.” (See Appendix A, Presidential Memo; and Appendices B and C, full statements of Senate Majority Leader Reid and Secretary of the Senate Erickson.)

Processing Insights and Collecting Challenges

Hands-on processing of electronic records in 2011 rendered valuable insights about contemporary staff record keeping. Close evaluation of staff e-mail accounts for the purposes of description revealed some unusual gaps, indicating that some committee staff members are not totally aware of how to use the Outlook archive folder function. Senate Archivists were then able to address this with some targeted guidance. Other gaps in the records demonstrated the fragility of PST files (personal storage table in Microsoft Exchange), with some records lost to file corruption. This has underscored the importance of keeping current with digital records archiving.

Growing use of mobile communication devices throughout the Senate inspired production of a checklist designed to help staff archivists locate and preserve records. This checklist is designed to be used when staff depart, as part of their exit interview. Such checklists are recommended as best practices by the Collecting Repositories Electronic Workshop Group (CREW) of the Society of American Archivists.

Challenges of a large system change were encountered in 2012 when the Senate ceased using Symantec Vault archives for e-mail storage

and began offering ILM (Information Lifecycle Management) e-mail archiving with Microsoft Exchange. Working with the Education and Training staff and Systems Integration staff, the Archivists discovered that six committees had a total of forty-nine “orphaned accounts” that were scheduled to be permanently deleted from the vault without review for archiving. This exposed one of the greatest hazards to the survival of electronic records—system changes that result in orphaned accounts. Fortunately, this was discovered in time to contact relevant committee staff. The other requirement during a systems change is to provide new guidance aimed at preservation challenges presented by the new system. Working with Education and Training and System Integration staff, Senate Archivists produced a new Quick Card, “Preservation Guidance for ILM E-mail Archiving.”

The Archivists are working more closely with Sergeant at Arms IT staff on issues ranging from system migrations to targeted education and training materials. Increasingly, the committees’ IT staff members have become essential allies in preserving committee historical records.

Internet Technology Initiatives

Growth in electronic records transfers has created interest in improving the Senate’s and the Center for Legislative Archive’s infrastructure for archiving. These initiatives include implementation of the Senate’s Large File Transfer System (LFTS) for transferring records accessioning documentation to the Center.

Specifications for a Senate archives virtual server have been compiled. This is an initial step towards transferring electronic records electronically. Also, to better manage loans back to the Senate, Archivists worked with the Center staff to repurpose their Holdings Management System.

Committee Reports

In 2011, the Senate Archivists created an Access database to track committee transfers of textual and electronic records. Reports from this database will be used to illustrate committee progress with archiving to the Senate Rules and Administration Committee. This is a transitional

report pending the implementation of the Archivists' Toolkit management system currently under study. (See Descriptive Tool Task Force, Section I.H.)

Summary

The past six years have seen extraordinary changes in record-keeping practices of Senate committees. These changes require wide participation on the part of committee staff, an increased need for professional archival assistance in preserving committee electronic records, increased coordination of efforts between archival and IT staff, and continued support of the leadership.

C. Policy Committees and Party Conferences

House

The records of Policy Committees (caucuses) in the House are not considered official records of the House. These records, like leadership records, are considered the personal property of the group or individual.

Senate

The Advisory Committee visited the issue of party caucus records at its December 2009 meeting. Senate Historian Donald Ritchie noted good relationships between the Historical Office and both caucuses in the Senate. Proceedings of Conference meetings up to 1964 have been published, and the historians are now working on the Democratic Conference minutes up to 1981. Starting in 1973, minutes are verbatim rather than summarized. Once the Democratic Conference records are edited, a similar project will be conducted with the Republican Conference. Conference records other than meetings have not been preserved in the archives and are not covered by Senate Rule XI. They are considered to be the property of the Conference chairs.

The Senate Democratic and Republican Policy Committees are infrequent users of the Center for Legislative Archives services, with the exception of the Democratic Policy Committee's storage of its video collection. Policy Committee records are considered to be covered by Senate Rule XI with regards to their preservation and transfer to the

archives. While both policy committees have backlogs of records, to date they have not been willing to transfer them to the archives.

D. Classified Records of Congress

The Public Interest Declassification Board (PIDB) issued a report in December 2007 entitled *Improving Declassification*. The PIDB is an advisory committee established by Congress in 2000 to promote the fullest possible public access to a thorough, accurate, and reliable documentary record of significant U.S. national security decisions and activities. The report includes several recommendations on how certain classified government records should be declassified. The section of the report that pertains to the records of Congress, *Issue No. 15 – Declassification Reviews of Certain Congressional Records*, recommends transferring classified records to the National Archives as they become twenty-five years old so NARA can arrange for declassification reviews. The recommendation also includes the establishment of a National Declassification Center (NDC). The NDC opened in 2009 and is responsible for declassifying congressional records.

At its June 2010 meeting, the Advisory Committee invited Mr. Jay Bosanko, Director of the Information Security Oversight Office of the National Archives, which serves as the executive secretary for the Public Interest Declassification Board, to discuss declassification issues affecting classified records of the House and Senate. The committee learned that the quantity of classified records both in the executive branch and Congress has exploded beyond the limited resources available to declassify them. Bosanko proposed better description of classified records as a way to help with prioritizing their declassification.

At a subsequent hearing of the Declassification Board on July 22, 2010, the Senate Historian heard the concerns of the board members who urged greater attention to the issue of declassification of classified records of Congress.

Following this meeting, the Secretary of the Senate sent a request to the Center for Legislative Archives to proceed with a systematic review of

classified Senate records more than twenty-five years old. As a result, the National Declassification Center conducted a preliminary review and analysis of declassification issues of the approximately 650 feet (1,625,000 pages) of classified Senate records more than twenty-five years old. The assessment included evaluating the degree of difficulty associated with reviewing the records based on the ongoing sensitivity of the information they contain. Thirty-six boxes of records over fifty years old were identified as ready for declassification. These included records of the Senate Armed Services Committee, Foreign Relations Committee, and the Judiciary Subcommittee on Internal Security. After this, the Center for Legislative Archives will perform an annual review to identify additional classified records as they reach fifty years old.

Meetings with the Senate Intelligence Committee in 2009 and 2010 resulted in that committee's decision to proceed with declassification of the Church Committee Records. A \$4 million appropriation to declassify these records was scheduled to be included in the FY 2011 defense appropriations bill, but that bill was never passed. In 2011, the Senate Intelligence Committee asked the Office of Defense National Intelligence to provide guidance on declassifying older committee (including Church Committee) records. ([See Appendix D](#)) As of December 2012, the Committee has not received guidance.

In 2011, a Senate committee archivist raised questions about the archiving process for a committee's classified records. Upon review, it became clear that the Senate is inundated with classified records that arrive daily in multiple copies, many of which are not even consulted by staff. Specific appraisal guidance for classified records would help alleviate this situation by allowing committee staff to focus on preserving those records with historical value. Working with the Office of Senate Security, the Senate Archivist produced committee management guidance and an appraisal chart that security officers and archivists use to identify permanently valuable classified records. Appraisal guidance combined with better archival description should facilitate the preservation of significant classified information and the disposal of records of transitory value. In particular, the Senate Archivists are especially concerned that staff notes taken at classified

briefings be preserved since they are the only Senate evidence of what was presented at such briefings.

The House Clerk's Office is working with the Office of Art and Archives (OAA) and the House Sergeant at Arms to secure the proper security clearances necessary for the House Archivist. The House Archivist will then be able to assist with the handling and retrieving of classified records and help the Center for Legislative Archives with classified records issues.

E. Joint Select Committee on Deficit Reduction

Responsibility for archiving the records of the Joint Select Committee on Deficit Reduction (est. P.L. 112-25, 125 Stat. 239 [2011]) was assigned to the Senate by the joint committee rules. The Senate Archivist moved quickly to brief committee staff as the office was being set up in August and September of 2011. The committee closed down at the end of January 2012, and the Archivist took possession of the records in order to arrange and describe them. The bulk of the collection is electronic. Access to the collection is divided between open and closed records. Open records include web source files, hearing videos, hearing transcripts, press files, letters from congressional committees, letters from individual Members of Congress, letters from advocacy groups, letters from the general public, and web forms filled out by the public for comment to the committee. Records closed for twenty years include staff files, staff working sessions, and legislative files. The joint committee website also was archived by the Cyber Cemetery Archives at the University of North Texas. The site can be accessed at: <http://cybercemetery.unt.edu/archive/deficit/20120113172445>.

F. New Accessions of Older Records

House Alienated Records

In 2008, the Office of Art and Archives (then the Office of History and Preservation) received two letters written by President Richard Nixon to House Judiciary Committee Chairman Peter Rodino that were a part of the House Judiciary Committee records during the impeachment inquiry

held in 1974. In the letters, written on May 22 and June 9, President Nixon outlines the reasons he will not comply with the subpoenas issued to him to produce tapes and diaries relating to the Watergate break-in. Although the letters are official committee records, which should have remained with the records of the U.S. House of Representatives, the letters ended up in private hands and were scheduled for auction through a manuscript dealer. The National Archives' Office of Inspector General alerted the Center for Legislative Archives about the impending sale, and attorneys from the House's Office of the General Counsel and the Department of Justice convinced the individual seller and manuscript dealer to relinquish the letters to the House. The letters now reside with the official House Committee on the Judiciary records at the Center for Legislative Archives. The staff at the Seton Hall University Law School Library verified that the letters did once reside in the congressional papers of Chairman Rodino, along with other Judiciary Committee records from the Nixon Impeachment Inquiry.

In 2011, the House received a variety of committee records from the John Moss Collection at California State University in Sacramento. After a few years of negotiations, the university transferred approximately three hundred boxes of committee records to the Office of Art and Archives. Many of the records deal with the creation of the Freedom of Information Act, which was spearheaded by John Moss as well as Interstate and Foreign Commerce committee files and files related to significant consumer protection legislation.

Senate Appropriations Committee Ledgers

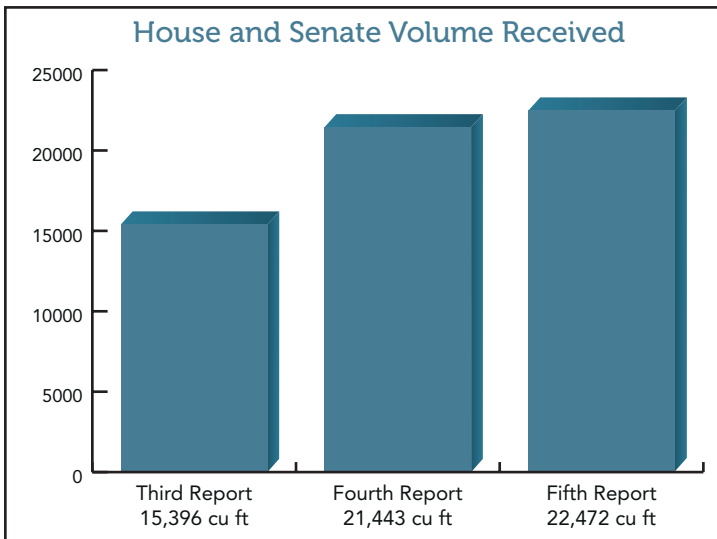
In 2011, the Senate Rules and Administration Committee accepted a gift of five original Senate Appropriations Committee ledgers covering the period from 1870 to 1909. The ledgers were purchased on eBay by an antiquarian bookseller, Vic Zoschak, who in turn donated them back to the Senate. The volumes provide an inventory of appropriations "by item and by Congress" and fill a significant gap in the historical records of the committee. The five ledgers are divided as follows: Agriculture, Army, Fortifications, Pensions, and Post-Office; Diplomatic and District of Columbia; Legislative; Military Academy and Naval and

Sundry Civil Appropriations.

According to a note on Senate letterhead found in the Diplomatic ledger, there were originally six ledgers, and from a comparison with the then existing subcommittees, it appears that a volume pertaining to Indians and Deficiencies is missing—perhaps a future eBay discovery. These are the most significant set of nineteenth-century Senate committee records to be recovered since the opening of the National Archives in 1935. The discovery of these lost treasures raises questions about what else may have survived from the time before the creation of the National Archives in 1934 and the initial transfer of Senate records to the building in April 1937. It also serves as a reminder of the permanence of paper and how it survives long enough to be found.

G. Accessions and Loans

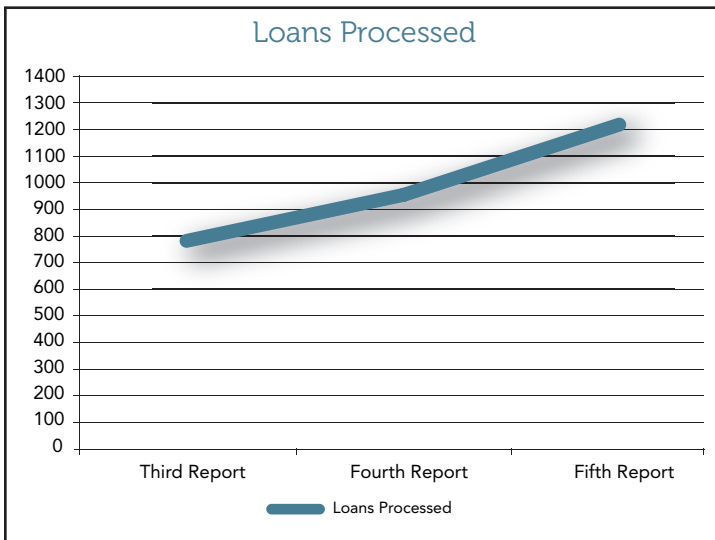
Over the last six years, the Center for Legislative Archives has accessioned 22,472 cubic feet (56 million pages) of House and Senate records. This is an almost 5 percent increase over the 21,443 cubic feet documented in the *Fourth Report*, and a 46 percent increase over the 15,396 cubic feet received during the time frame of the *Third Report*.



This growth in these collections can be attributed to stronger House and Senate archiving programs and the resulting increased response from committees and also to the documentation of noteworthy events such as Hurricane Katrina and Wall Street financial issues.

Currently, the Center has 217,000 cubic feet (542 million pages) of records under its jurisdiction. This is an increase of 32,000 cubic feet (17.3 percent) over the 185,000 cubic feet reported in the *Fourth Report*. Most of this considerable increase is due to the large volume of House and Senate records taken in over the last six years. The remainder is from additions to other records groups under the Center's jurisdiction.

As noted in the *Fourth Report*, the most critical function performed by the Center is the prompt and timely response to House and Senate committee requests for archived records. Working closely with House and Senate staff, the Center processed a total of 1,326 separate loans back to committees over the last six years. This was an increase of 32 percent over the 1,006 loan requests reported in the *Fourth Report*, and a 68 percent increase in the 791 loans processed during the time frame covered by the *Third Report*.



In order to better document and retrieve loaned records, the Center recently revamped its processes. The new loan procedure utilizes the Holdings Management System, and is better able to track the custody of the loaned boxes throughout the process. This provides additional records security for the House and Senate.

New Description procedures

The House Office of Art and Archives (OAA) is using the Archivists' Toolkit software for work on the Next Generation Finding Aid (NGFA) project and to accession current records. For NGFA, OAA is creating resource records (finding aids) for older records and has developed a processing manual to use for describing records and for training staff. The House has been working closely with the Center for Legislative Archives to refine its accession procedures. The new accessioning process has allowed OAA to capture more information at the point of accession, which provides better tracking and accountability information for OAA's work with the committees. This also allows OAA to indicate preliminary arrangement and scope and content notes that facilitate transfer of this information to the Center, providing them with an increased level of description right at the point of their receipt, reducing the amount of description work needed before the records can be opened to researchers. Ultimately, OAA will no longer be adding to the backlog of description required at the Center. Because there are no professional or trained archivists on any House committees, OAA archivists are creating all archival description of House records before they are transferred to the Center.

In 2009, the Senate Historical Office hired a Deputy Archivist to provide the necessary expertise to undertake a long-desired project, namely, to improve the description of committee records using up-to-date archival standards. Because the creation, transfer, preservation, and access to records should be part of a seamless process, the Deputy Archivist was tasked with developing an archives transfer form that is filled out by committee staff and supplies information conforming to the Describing Archives: A Content Standard (DACS). First, series titles based on functional categories are standardized through use of a drop-down

menu. This has facilitated the organization of transfers by record series. The new form uses a scope and content note to highlight aspects of the accession by adding Library of Congress subject terms, Congressional Research Service legislative indexing vocabulary terms, named entities, named individuals, geographical references, and subjects of note, especially named legislation. The form collects information about document types, something that research scholars particularly note as being useful. The form also requests information about staff such as titles, length of service, and area of expertise—information that when presented in an Encoded Archival Context—Corporate bodies, Persons, and Families (EAC-CPF) search environment will allow researchers to locate records of individual staff as they move within different offices of the congressional community. The basic archives transfer form is supplemented by an electronic records form that documents contextual and curatorial information relating to the authenticity of series of electronic records. The form is scheduled to be encoded with XML (Extensible Markup Language) so that it will transfer to the Archivists' Toolkit accessioning software. (See Descriptive Tool Task Force, section I.I.) The committee archivists deserve many thanks for their assistance in beta testing the form over several months.

Because of the wide variety of skill levels between committees with and without professional archivists, the Senate Archivists are providing ongoing oversight and enhancement of records description. The enhanced description in turn provides a means to assess the quality of documentation being preserved. Because the new forms and procedures closely parallel national standards of archival description, they are helping to build a bridge between the congressional repositories (Members' papers) and National Archives (congressional committee records) descriptive traditions. Most significantly, improving description at the point of origin has greatly improved the ability to locate information in the records, whether they are large series of paper documents or large series of bits and bytes.

The transfer forms are supplemented by staff exit interviews where possible. First used by Homeland Security and Government Affairs archivist Katie Delacenserie as she was helping to close Senator Byron Dorgan's office in

2010, they are useful to offices interested in building a “staff genealogy.” Committees are urged to use them to provide further context for electronic records. These would also be useful in the event that the Center’s Finding Aid project explores the potential of EAC-CPF as a next evolutionary step in providing access across congressional collections.

H. Center for Legislative Archives and the National Archives Holdings Management System

When the *Fourth Report* was released, the Center’s record inventory system was still mainly paper-based. Efforts were underway to create an electronic inventory of the Center’s holdings, but that project was not yet complete. However, by the end of 2007 all of the Center’s holdings (with location and some descriptive information) were captured in an Access database system. The Access database allowed for increased intellectual and physical control of the records under the Center’s care. By 2010, NARA had released a NARA-wide inventory control system called the Holdings Management System (HMS). In 2011, the Center migrated the information from its Access database into HMS. HMS brought the Center’s inventory control down from the accession level (in the Access database) to the box level. In addition, HMS is a much more powerful tool for searching and producing reports and its capabilities will only expand in the future. For example, the Center has just started a pilot barcoding system using HMS that will facilitate the tracking of records as they are loaned back to the House or Senate. There are currently almost nineteen thousand record entries for the Center’s records in HMS.

I. Finding Aid Project

Project Background

Over the past few years, the Center has dedicated significant resources to the reestablishment of a description program and the development of a Next-Generation Finding Aid project. Prior to this, the Center’s description activities focused primarily on preparing basic series-level description records and item-level description for digitized content for the Archival Research Catalog (ARC), the agency’s online catalog of record

descriptions. ARC currently contains 783 series-level descriptions and 535 file unit descriptions of congressional records. In addition, the Center has contributed 3,159 item level descriptions to ARC for digitized records.

In 2009, the Advisory Committee created a Task Force on Description to advise the Center on descriptive matters. The task force was comprised of fourteen members from the Senate, House, Center, and experts from the congressional records and archival community. The task force provided expertise on the improvement of the Center's descriptive practices and finding aids and provided key recommendations in the reestablishment of the Center's descriptive program.

On the recommendation of the Advisory Committee and the Task Force on Description, the Center embarked on a multi-year project to address its description backlog of committee records and to increase online description of congressional records. In response to these recommendations, the Center established a project to develop new description workflows and create an innovative way to present information about the records of Congress through existing NARA systems. In January 2010, the National Archives awarded a contract to the Center for History and New Media (CHNM) at George Mason University to assist the Center for Legislative Archives in developing recommendations and procedures for reestablishing the Center's description program. The CHNM's final report, "Recommendations for Center for Legislative Archives Next-Generation Finding Aid" was endorsed by the Task Force on Description and approved by the Advisory Committee in June 2011. The final report recommended the Center request additional staff to focus on the description backlog and conduct a series of pilots to further assess staff resources required to adequately describe the records.

The CHNM's report identified five improvement goals and twenty recommended activities for the Center's Next-Generation Finding Aid project. The Center is utilizing project management software to measure progress on each of these goals and activities. The Next-Generation Finding Aid project has been identified as a priority project for the Center for which quarterly progress reports are submitted to senior NARA management.

Accomplishments

The Center for Legislative Archives has accomplished several key milestones towards reestablishing its description program and carrying out the recommendations of the Center for History and New Media's final report.

Streamlined accessioning: Over the past two years, the Center has worked with the House and Senate Archivists to streamline the accessioning and description of textual and electronic records. The Center and Senate Archivists implemented new electronic transfer forms for textual and electronic records and the transfer forms are now transmitted electronically through a large file transfer protocol (FTP) system. The electronic transfer forms ensure that metadata is captured at the point of record creation by those most knowledgeable about the records.

New workflows: In preparation for testing a shared collection management system, the Center and House and Senate Archivists have developed new workflows to facilitate the capture of structured metadata at the point of record creation. These workflows, in addition to metadata mappings currently under development, will allow for the seamless transfer of records description between systems at the House, Senate, and National Archives.

Standardized description: Center staff has created a description manual and templates based on the National Archives' Lifecycle Data Requirements Guide (LCDRG) and national description standards such as *Describing Archives: A Content Standard* (DACS).

Additional Staff Positions: In June 2011, the National Archives authorized the hiring of two dedicated description positions in support of this effort. The Center's first digital description specialist was hired in September 2011 and a second description specialist was added in May 2012.

Pilot Projects: In 2011 and 2012, the Center completed two pilot description projects, as recommended by the CHNM's final report, in

order to assess staff resources needed to carry out the recommendations of the report. The first pilot project was aimed at collating existing description from the House and Senate preliminary inventories, the Center’s HMS, and published House and Senate guides for the 75th Congress (1937-1938). The first pilot resulted in the creation of 191 file unit descriptions that have been added to ARC. The second pilot project addressed the Center’s growing backlog of minimally described modern committee records (1947-present) for which there are few detailed finding aids. During the second pilot, Center staff described nearly 5,500 cubic feet of Senate records and 4,700 cubic feet of House records, which resulted in a total of 1,389 file unit descriptions for upload to ARC. Detailed metrics collected during the pilot projects were used to identify staff resource needs and create measurable, predictable outcomes for future descriptive work.

Revised workflows: The Center has incorporated the findings from the two pilot projects into new and existing description workflows. Based on procedures and templates developed during the pilots, Center staff, students, and interns have created more than five thousand file unit descriptions that represent near folder-level description for records from the first fifty-three Congresses (1789-1895) and 93rd-95th Congresses (1973-1978).

The following chart shows the status of record description for the Center’s holdings as of May 18, 2012.

Record Group	Open Records*, Fully Described	Open Records*, Minimally Described	Closed Records	Total Volume of Records
House	26,469 cubic feet	13,461 cubic feet	34,301 cubic feet	74,231 cubic feet
Senate	16,563 cubic feet	24,583 cubic feet	28,471 cubic feet	69,617 cubic feet
TOTAL				143,848 cubic feet

*Open records are eligible for research as determined under the access rules specified in Senate Resolution 474 and House Rule VII.

Researcher Database: In December 2010, the Center implemented a researcher database to track records usage by researchers. The researcher database collects information about in-person, mail, e-mail, and phone reference transactions, including the research topics of users and the records consulted. Center staff will use this information to analyze records usage, create description work plans based on researcher trends, and develop protocols for collecting researcher-supplied notes and description.

Descriptive Tool Task Force

In November 2011, the Senate and House Archivists and Center archival and information technology staff formed a task force to collaborate on shared description issues. The task force has five goals:

1. To identify shared accessioning and description requirements of the Senate, House, and Center.
2. To analyze Archivists' Toolkit and other collection management solutions in support of the first goal.
3. To create a streamlined accessioning workflow that facilitates sharing of metadata between the Senate, House, and Center.
4. To implement a low-cost collection management solution that will facilitate an online user interface specific to congressional records and integrate with existing institutional collection management and description tools.
5. To monitor the development of ArchivesSpace (an open-source web application to manage descriptive information for archives, manuscripts, and digital objects) and actively participate in its development and testing.

To address the first three goals, the task force has developed use cases, technical requirements, workflows, and metadata mappings between proposed and existing institutional collection management tools in preparation for testing of Archivists' Toolkit.

Projections

The Center's pilot description projects provided valuable metrics that have been applied to determine description rates for the remainder of the Center's description backlog. At current staffing levels, the Center

projects that the collation of existing description from the House and Senate preliminary inventories will be completed in approximately five years. The Center is currently seeking additional student staff resources to reduce the length of time needed to complete this work.

The Center's backlog of minimally described and undescribed records will require significantly more staff resources. With current resources, completion of the description backlog will take six to seven years. However, with the addition of one additional staff member dedicated to description, the Center would be able to eliminate the backlog of minimally described and undescribed records in less than five years.

These projections do not account for new accessions received in the future. However, the establishment of electronic transfer forms and the adoption of a shared collection management system between the House, Senate, and Center will significantly reduce the amount of staff time needed to complete record description moving forward.

J. Legislative Commissions

The Advisory Committee created a Task Force on Legislative Commissions at its December 2011 meeting to investigate possible solutions to the processing burdens being placed on the Center for Legislative Archives by commissions that generate large quantities of sensitive records but have not adequately provided for their records management, archival description, and screening. Some of the commissions have also been designating relatively short periods of time—in some cases five years—when their records should be opened for research, thus adding to the Center's screening backlog in a major way.

Background

The Center has received significant additions to its holdings from the acquisition of records of legislative commissions. Since the 9/11 Commission, Congress has turned increasingly to commissions to investigate some of the biggest, most complex issues facing the nation. When Congress creates an independent commission, it usually does not specify its branch status although there have been exceptions, the 9/11 Commission among them. Sometimes commissions have made that

determination on their own based upon their function, their mandate, and to whom they report. For planning purposes, it would be helpful if Congress would routinely designate to which branch commissions belong.

Advisory Committee members noted that it would be useful to have some standard language available when commissions are created. Such language might spell out that records management, archiving, and screening must be budgeted for by the commission. Members also suggested that it would be helpful to require commissions to post their proposed access restrictions in the *Federal Register* for public comment so that the commission could gauge public demand and fine-tune access policy along with a necessary budget. If such financial support were built into the commission mandate, the Center would avoid inheriting a huge processing backlog with each commission. By way of contrast, both House and Senate perform the bulk of their processing prior to transferring records to the Center. They also follow standardized access rules that do not place undue burdens on the Center staff by requiring screening of extremely sensitive records before they are old enough to be released in a meaningful way.

Another suggestion was to include a provision in the creation language to the effect that sixty days before the termination date, the commission is responsible for concluding its administrative responsibilities, including making arrangements for archiving its records. Commissions are difficult to track, and sometimes they contact the archives a day or two before they close down. Because commission records can be needed almost immediately by the Congress, it is imperative that they be adequately managed throughout their life cycle and that they arrive at the Center ready to be turned around and made available to the Congress on demand.

Current Status

The Task Force determined to begin with Senate research. The Secretary of the Senate asked the Senate parliamentarian, legal counsel, and legislative counsel for their comments and advice. The Senate legislative counsel provided draft language to set up an access provision and was less certain about language to provide for screening and declassification

because often, there appears to be no funding provided to these commissions, or funding is provided from a separate unrelated account.

The Senate legal counsel noted that the lack of standardization in statutory provisions governing the archiving of records of legislative commissions is a subset of a larger recurring problem. Statutes creating such commissions often lack any, or standardized, provisions on a host of administrative matters: location in governmental structure, ethics matters, subpoena procedures, agency responsible for administrative support (e.g., payroll services), applicability of statutes and rules governing openness of proceedings and records, coverage of commissioners under federal tort law, employee rights, gift acceptance authority, etc. The Senate legal counsel thought it would be a useful project to undertake to create checklists or templates for legislative commission statutes to address some of these issues, including archiving of records.

Rather than embark on a much larger mission, preliminary discussions with the Center for Legislative Archives focused on the doable, namely language to set up an access provision for congressional commissions and provision of necessary archival or records management staff to manage the records.

The House is working with the various House counsels to author language to include in legislation creating the commissions that would address access to the commission records and resources for managing the records. The Senate also is discussing draft language. ■

Section II: Preservation of and Access to Members' Records



II. Preservation of and Access to Members' Records

A. Outreach to Members

H. Con. Res. 307, 110th Congress

In the summer of 2007, the Senate and House Archivists, Karen Paul and Robin Reeder, made a joint effort to foster legislation that encourages Members of Congress to secure their papers for archival preservation. Originally, it was not known whether a joint resolution or separate resolutions in the House and Senate would be appropriate vehicles. The Senate Archivist had prepared an initial Senate draft in 2005. Paul and Reeder revised the initial language, ultimately deciding that a concurrent resolution would be more effective. Reeder and Farar Elliott, chief of the House Office of History and Preservation (now OAA) in the Office of the Clerk, presented the concurrent resolution to Clerk of the House Lorraine C. Miller. The Clerk immediately recognized the importance of the legislation and then effectively worked to finalize the language and foster cooperation with her counterpart, the Secretary of the Senate. In January 2008, the Advisory Committee discussed the draft resolution and endorsed it. In March 2008, House Administration Committee Chairman Robert Brady introduced the resolution in the U.S. House of Representatives. After the resolution passed the House, it went to the Senate Committee on Homeland Security and Governmental Affairs. After being reviewed by the committee and subcommittee of jurisdiction, the resolution was placed on the Senate's legislative calendar and subsequently passed in June. In Chairman Brady's floor remarks before the House vote, he stated, "The papers generated by Members while in office reflect the issues of the day and are of historical benefit to students, scholars, and citizens in understanding the role of the House of Representatives in the Federal Government." The Senate and House Archivists are hopeful that House Concurrent Resolution 307 reminds Members of the availability of records management resources and personnel. Ultimately, the archival preservation of the records of Members of Congress is a long-lasting form of service to constituents in their districts and throughout the nation. (See Appendix E, H. Con. Res. 307, 110th Congress.)

Getting the Message Across

At its June 2008 meeting, the Advisory Committee was informed that repositories continue to find it a challenge to engage Members of Congress on the topic of their papers. Various ways to reach out to Members were discussed and outreach has become a major ongoing process under the leadership and support of Secretary of the Senate Erickson.

One of the most effective sources of inspiration in the Senate has been the leadership of Senators Harry Reid (D-NV) and Mitch McConnell (R-KY), who have full-time archivists on their staff. This sends a strong message as to the importance that leadership places on the role of archivists in the Senate.

The Senate and the Center for Legislative Archives host a reception for new Members and their families at the Archives during orientation week in December. First held in December of 2006, this has proved a popular and effective means of outreach. Other initiatives have included a special Senate staff directors' tour of the Center, a coffee with the Archivist of the United States for committee staff directors to promote electronic records archiving, and tours for committee and Members' office staff. Members are also encouraged to visit the Legislative Treasure Vault to see historic House and Senate records, and the Center reports more than 120 Members' visits since 2006. In 2011, the Secretary of the Senate's lecture series included a talk on "The History of the Senate's Archives." The history also is used in an archival documentation seminar held at the Senate for University of Maryland School of Information graduate students. This class has proved to be a valuable source of interns and future staff archivists.

In 2012, the Senate Bipartisan Staff Directors group requested a briefing about archives at their monthly breakfast meeting. Senate Historian Don Ritchie described the importance of Senators' records and Karen Paul spoke on the topic, "Five Things Every Staff Director Should Know about the Senator's Archives."

Outreach efforts to Members achieved a milestone with the passage of H. Con. Res. 307 in 2008. This resolution states the "sense of

Congress” that Members should preserve their papers and donate them to a qualified repository. It is used by archivists within the Congress and those in congressional repositories to encourage Members’ commitment to preserving their papers.

Panel discussions by former Members on the topic of their collections have become a popular feature at the annual meeting of the Association of Centers for the Study of Congress. The conversations are transcribed and made available on the Association’s website at: www.congresscenters.org/conferences where they can be mined for insights to share with other Members.

There cannot be too much outreach to Members of Congress, and the Advisory Committee continually seeks ways to remind, inspire, and inform.

Assistance to Opening Offices

Since 2002, the Senate has used “Opening an Office Handbook” that includes baseline records management advice. This is provided to Members’ transition offices and is broadcast on the Senate Intranet Transition site.

Eighteen offices closed at the end of the 111th Congress (2009-2010). This 18 percent turnover provided a substantive “snapshot” of current record-keeping practices. While some offices were relying on paper to transact business, the majority were using a variety of electronic systems. For example, Members had begun to use notebook computers, not briefing binders, to view their daily briefings. There was extensive use of social media to communicate with constituents (YouTube, Facebook, and Twitter being the most popular). More importantly, there were wide variations in levels of understanding about preserving these files. It also became evident that people had questions about what a research repository does and what services archives provide.

Armed with these fresh insights, the Senate Archivists created an *Office Archives Toolkit* aimed specifically at new offices. Designed to provide instant access to best practices, it helps staff get started on the right “archival foot.” Its audience is the administrative manager, records

manager, archivist, or systems administrator who seeks a quick answer to a management question.

The kit contains eighteen “tools” ranging from an office policy statement to a records management control table. It includes guidance for the systems administrator, advice on personal records management, information on how to inventory memorabilia, and strategies for archiving e-mail. A prominent “tool” is the recommendation to hire staff with archival training or to provide training to an interested staff member. A standard job description is included so that administrative managers can better understand what value-added services an archivist can provide. It is available in hard copy, on a disk, and on Webster, the Senate’s intranet.

The *Toolkit* makes archiving information as accessible as possible to offices as they evolve over their first term and different needs arise. It complements the *Records Management Handbook for United States Senators and Their Archival Repositories*.

All Senate offices are encouraged either to put a professional or trained archivist on staff, or to train an individual staff member to perform the work of an archivist. The National Archives Modern Archives Institute, a two week archivists training course, is advertised to the congressional community and since 2001, twenty-nine staff have graduated with an archivist certificate. This growing body of archival knowledge makes a difference for those offices that take advantage of the opportunity.

Closing the Offices of Senators Obama and Biden

After the 2008 election, the Senate Archivist and Center for Legislative Archives worked together to close the offices and preserve the collections of Senators Barack Obama and Joseph Biden. The purpose was to secure the Obama collection for the future presidential library and to provide immediate curation for the electronic records. The Center detailed an IT specialist to work with the Senate Archivist. This was a unique, hands-on experience for the Senate Archivists who routinely administer committee records, not Members’ papers.

The experience served as inspiration for educational tools to facilitate the management and archiving of electronic records. The result was

three basic “Quick Cards” designed to promote best practices through all staff levels. They include: “Is it a Senator’s Historical Record?” (a series of questions that train staff on how to recognize a historical record), “How to Archive Senators’ Electronic Records,” and “How to Archive Senators’ Paper Records.” When used together, they help staff to focus on preserving the significant records of the office.

Assistance to Closing Offices

During 2010, a Secretary of the Senate/Sergeant at Arms handbook *Closing a Senate Office Checklist* (first published in 1998) was separated into two handbooks, one “comprehensive nuts-and-bolts” on office closing, the other devoted exclusively to archiving. The Senate Archivist uses the new handbook for meetings with Senators’ offices as soon as retirement is announced. The handbook prominently features H. Con. Res. 307 (2008), a closing timeline, and quick cards on topics ranging from selecting a repository and inventorying a collection, to how to donate a collection. In this context, H. Con. Res. 307 is proving to be an effective outreach tool to senior staff as well as Senators.

Closing offices are advised to compile comprehensive inventories of their records so that they may be appended to deposit agreements. They are advised to seek archival assistance if they do not have someone available to devote full attention to the task at hand. Discussions emphasize the amount of work required to properly close down an office. As a result, Members normally hire archivists or bring in dedicated staff familiar with the office to manage the archiving. Closing offices are strongly encouraged to work closely with their designated archival repository for the purpose of shaping the contents of the collection. This has become increasingly valuable and necessary in the digital era.

Increased assistance to retiring Members has resulted in the following:

During the 110th and 111th Congresses, 174 House offices closed and OAA met with 56 percent of the offices to discuss options for the Members’ papers. For the 112th Congress, there are currently ninety Members who are leaving or have already left, and thus far, OAA already has met with 56 percent of these offices. OAA will continue

to pursue Members they have not met with and monitor any future Member departures. Because House Members do not have archivists on their staff, the three archivists in OAA answer questions and provide consultations to Members, as well as to House committees.

Sixteen Senators departed at the end of the 110th Congress and all but four transferred their collections directly to a repository. The four who did not are holding them privately for the time being.

Eighteen offices closed in 2009-2010 and all except one designated an archival repository.

Twelve Senators retired at the end of the 112th Congress, one incumbent was defeated, and one Senator passed away. All but three designated an archival repository. Those Senators and one Senator who resigned in May 2011 are retaining their records in private custody for the time being. At the time of publication, the disposition of the deceased member's collection is not known.

B. Outreach to Staff

In 2007, the House Office of Art and Archives (then the Office of History and Preservation) created new records management manuals and pamphlets for House Member offices. These publications focus on the entire lifecycle of a House Member's office, rather than only when the office is closing. At the beginning of each Congress, letters are sent by the Clerk of the House to all House Members, along with copies of the House records management manual, offering the expertise of the House Archivist to Members and their staff. Newly elected Members and Members who are retiring or have lost elections are also contacted. In addition, OAA is informed by the Center for Legislative Archives when House Members have legislative treasure vault tours and OAA follows up with the chiefs of staff of these Members to offer archival assistance.

Secretary of the Senate "Brown Bag" Meetings and Archivists' Listserv

When she became chair of the Advisory Committee, Secretary of the Senate Nancy Erickson remembered a sixty-day "crash course" on

archiving when she worked for Senator Tom Daschle, and suggested that there must be an easier way to establish records management systems in Senators' offices. Discussion centered on whether most Members' offices and committees have a clearly designated records manager. The recent experience of Senator Craig Thomas's office following his death after a brief battle with cancer in 2007 was held up as an example of why it is so important. Senator John Barrasso was appointed by the governor of Wyoming to fill out Thomas's term and he hired Thomas's chief of staff, Sean Whitman, to work for him. Whitman was asked by a bipartisan gathering of chiefs of staff to talk about his experience closing down an office, while simultaneously opening a new office. Whitman said that the transition would not have been nearly as successful without a designated records manager and an archiving plan that had long been in place. He strongly urged his colleagues to do the same. The committee agreed that designating a records manager who would develop an archiving plan should be a top priority of an educational campaign.

Senate guidance has emphasized the importance of a designated records manager/archivist since the Congressional Papers Forum made that recommendation to the Advisory Committee in 2001 (S. Pub. 107-42). At that time, an archivist job description was incorporated into the *Records Management Handbook for Senators and Their Archival Repositories* and the *Records Management Handbook for Senate Committees*. A few offices followed the advice and hired professional archivists. But more was needed to convince offices of the importance of such help.

Secretary of the Senate Erickson decided to sponsor a brown bag lunch and invite some of the Senate staff leaders who had been involved in good records management. They were asked to share their insights with people working for new Senators, or for Senators who had not given a great deal of thought to this.

At the initial meeting staff asked for very basic "how to" information, such as how to box records and describe files. A two-page "cheat sheet" designed for use by young staff or interns was produced with the help of Alan Haeberle, Senator Orrin Hatch's archivist. At this first meeting,

someone suggested creating a listserv for archivists on the Senate intranet. This was the beginning of two new educational venues for archivists—the brown bag meetings and the listserv.

A meeting on electronic records led by staff from the National Archives followed. Information from the meeting became a “quick card,” best practices for managing electronic records. A meeting devoted to e-mail management was standing room only and another “quick card” followed. The first few brown bags were eye-openers for staff. Many who attended worked in offices with no one in charge of archiving.

While initial discussions focused on how to be prepared if the unexpected happens, subsequent meetings aimed to refine staff preservation skills. Topics included managing textual records, managing storage areas, using the Washington National Records Center, web archiving, scanning and imaging services, and the *Office Archives Toolkit*. The Society of American Archivists conducted a webinar on how to move from neutral to action with electronic records. The Office of the Secretary of the Senate and the Association of Centers for the Study of Congress co-sponsored “Congress Week” panel discussions that focused on archivists and historians in Congress and the experiences of John C. Stennis Congressional fellows.

To celebrate Archives Week in October 2009, a brown-bag focused on the topic: “What Can an Archivist Do for You?” Material presented at this session was used for an article in the 2010 winter issue of UNUM, the newsletter of the Office of the Secretary of the Senate. Replete with photographs of the Senate Archivists delivering their messages, this article for the first time celebrated archivists and their contributions within the Senate. Participating archivists spoke about how they increase Senate office efficiency and ensure that staff members have the information they need when they need it, how they preserve the member’s legacy and the committee’s history and contributions, and how they play an extremely important role in preserving electronic records since they are able to appraise, arrange, describe, and document the context of electronic records for the long term. A definition of Senate archivist was proposed by Chuck Papirmeister, Senate Judiciary Committee Librarian.

Senate Archivist Definition:

Noun Pronunciation: \ 'se-nət 'är □ -kə-vist -,kī-\

Archaic: A collector of records of the U.S. Senate.

1. A *manager* charged with the preservation of the paper and electronic records of a committee or member of the U.S. Senate.
2. A *trekker* through mountains and valleys of data to identify historical records for preservation.
3. A *miner* of data for gems of information.
4. A *mover* of grey boxes.
5. A *handler* of records, with kid gloves, for Members and committees of the U.S. Senate.
6. A *teacher* of U.S. Senate staff on how to organize records.
7. An *emergency information technician* rescuing information from collections after sudden departure of Members or staffers.
8. A *tamer* of the wilderness that comprises committee and personal office files in the U.S. Senate.
9. A *keeper* of Senate Standing Rules XI and XXVI.

Archivists continue to meet periodically as the Secretary's guests in the elegant LBJ room of the Capitol. The difference now is in the level of knowledge of the participants. A recent meeting held on the topic "What to Save" elicited this remark from Dr. Richard Baker, Senate Historian Emeritus: "We have seen the flowering of the archivists."

Archivists' Listserv

Suggested at the first Secretary's brown bag meeting, the archivists' listserv continues to be a main vehicle for keeping staff up to date with emerging preservation topics, especially in the realm of electronic records, archival training opportunities, and records management advice. While membership varies, there usually are well over one hundred subscribers. The listserv is used to announce the Modern Archives Institute, which is held twice a year. Twenty-nine staff members from the House and Senate have attended the Institute since 2001.

Capitol Hill Archivists and Records Managers

CHARM, the Capitol Hill Archivists and Records Managers, was founded in 2001 as an informal lunch group to discuss challenges resulting from the closing of the Senate Hart Building for three months following the anthrax attack. It has evolved to become a core group of trained archivists who meet to discuss a range of evolving preservation questions and challenges including description standards, electronic records, bibliographic reports, and procedures at the Center for Legislative Archives. CHARM members participated in Congressional Papers Roundtable of the Society of American Archivists forums in 2006 and 2010, which featured presentations on electronic records, description, and exhibits. The forums were held at the Center for Legislative Archives, the Library of Congress, and the Capitol Visitor Center. In addition, CHARM members participated in sessions about congressional and political papers at the Mid-Atlantic Regional Archives Conference's spring 2010, fall 2010, and spring 2011 conferences.

Another initiative resulting from CHARM discussions was the use of staff exit interviews, first implemented by Senator Dorgan's archivist Katie Delacenserie. The interview questionnaires were integrated into the *Office Archives Toolkit* produced by the Senate Archivists. A version for committee staff is being used to provide refined descriptive information for staff electronic files. The tenth anniversary of the founding of CHARM was recognized by the Secretary of the Senate at a celebratory luncheon in 2011.

C. Gift Tax Issue

Background

In the mid-1990s, a gift and estate tax law enacted in 1969 to shut down abuses in split interest gifts was interpreted by the IRS to apply to gifts of historically significant personal papers. Gifts to charitable organizations are not normally subject to the federal gift tax that is imposed on the givers of noncharitable gifts worth more than \$13,000 (this amount is adjusted for inflation). However, to qualify for exemption from the gift tax, donors must relinquish their *entire* interest in the donated property

(IRC Section 2522(c)). Gifts of *partial* interests of property do not receive the benefit of the charitable gift deduction and hence are subject to gift taxation.

Since then, some Members have been reluctant to make an outright gift of their papers upon retirement because of the possibility of adverse tax consequences resulting from the need to restrict access to certain materials in the collection. To ensure that those provisions run no risk of being treated as creating a retained interest in the property that could result in the disallowance of the charitable gift tax deduction, Members are advised to consult with their tax advisers. To accommodate the need to restrict access to certain parts of a collection, Members also are advised to use a “deposit agreement,” rather than a deed of gift, to deposit those restricted portions with the institution and arrange for their title to pass to the repository upon the Member’s death, or at the time the restrictions can be lifted, whichever is sooner.

The Advisory Committee has been monitoring this issue and in its *Fourth Report* requested a study by the appropriate congressional office on current gift tax law (House Document 109-156, p. viii). At its June 2007 meeting, the committee continued discussing the gift tax issue. Committee member Guy Rocha described the adverse effects of the law and blamed it for his lack of success in acquiring the papers of former Congressman and subsequent Governor of Nevada, Jim Gibbons. Gibbons would not deposit his records because of concerns about the tax and he needed to keep certain records restricted for a period of time.

Committee member Sheryl Vogt explained that deposit agreements at her institution conflict with the state’s gratuities law, which prohibit the state from providing services for which it is not compensated. This could happen if papers on deposit are never gifted and are withdrawn after a period of time. To circumvent this, the university gave one donor a life estate in the papers with a clause stipulating that upon the donor’s death, the papers would indeed be gifted to the University of Georgia. In the meantime, the repository would act as the curator of the collection, and the collection would be made available for research. Vogt pointed out that the gift tax does continue to hurt with those people from whom

they are trying to get an early commitment regarding their papers. It is very difficult to get them to make the commitment that it is indeed going to be a gift.

The 109th Congress witnessed a cooling of donations of papers for eleven departing Senators. Although six donated immediately, five decided to hold onto their papers. While many older Members have already promised their collections, newer Members come in, are confronted with this issue, and are more reluctant to make an early commitment.

At the conclusion of this discussion, the committee moved to express its continuing concern about the gift tax issue.

Current status

In June 2006, then Secretary of the Senate Emily Reynolds and the Senate Archivist met with staff from the House Ways and Means Committee, the Senate Finance Committee, and the Joint Committee on Taxation. A number of problem areas were noted from the IRS point of view including questions about income derived from Members having exclusive access, the scope of the changes (Members vs. other figures in public life), and other issues. It became clear that there are many interests represented in the IRS code as it now stands; there are problems of definition, issues of who would be included or excluded, and questions concerning the derivation of income from publishing papers. Tinkering with the code would not be an easy path forward.

An alternative was proposed, namely to start with what affected institutions think the access policy should be. The tax counsels were supplied with definitions of Members' papers, and S. Res. 474, 96th Congress, which delineates access to Senate committee records. By way of comparison, presidential records have no written rules for access, nor do executive agencies. Access seems to be on a courtesy basis, with different agencies having their own internal policies. So there are no ready models for legislation to extend "uniform rules of access to Members' papers" since they do not exist elsewhere in government.

Secretary of the Senate Nancy Erickson hosted a follow-up meeting in July 2007. At that meeting Senate Legal Counsel Morgan Frankel said that current gift tax law is unsatisfactory for archives, and that both Joint Tax and Finance Committee counsels agree it is a definite problem. He also pointed out that if the donor dies, the papers go into the estate where they will be taxed. He recalled that there was much concern regarding S. 217 (106th Congress, Senator Moynihan's bill that attempted to solve the problem) that it could be a Pandora's Box, i.e. a vehicle for all others wanting to alter the gift tax law. The law was written the way it is to prevent certain abuses.

Frankel further stated that it is difficult to provide an access template for donations because state laws vary so much, and institutions also vary with what they will do. Much hinges on who will administer the restrictions—the institution or the donor. His office has developed a deed of gift/deposit agreement example that is shared with Senators upon request. He has written into it that the collection can be withdrawn, but the storage costs will be covered. Institutions usually go along with this.

Clerk of the House Lorraine Miller described a meeting with the House Ways and Means Committee staff about the gift tax. Janice Mays, the committee's majority chief of staff, said it would take much cooperation between the House and Senate, but Mays made a commitment to them that the committee would work on it, and would join the effort.

While fixing the gift tax issue would alleviate a situation that exists for all donors of collections that must be restricted for a period of time until they lose their sensitivity, there seems little enthusiasm to do so in a climate where it could be perceived as a "perk." It was felt that the best opportunity to address the issue would be during a major reform of the estate tax.

Because this opportunity has not yet materialized, the House and Senate embarked on outreach and educational programs to raise awareness of the importance of preserving Members' collections. H. Con. Res. 307 was passed and the House and Senate archival staffs were enhanced to support stronger outreach. For now, archivists continue to monitor the issue.

D. Continuing Electronic Records Challenges

While great progress has been made with preserving the electronic records of congressional committees, it is difficult to measure progress in preserving the electronic records belonging to individual Members. Anecdotal evidence suggests that the decision to preserve and donate the electronic records of Members and their staffs, particularly e-mails, is a difficult one for many offices. Congressional repositories are in the early stages of evaluating their recently donated collections. It is clear that more outreach and guidance are needed to persuade Members to retain and preserve their e-mails. Donors must be reassured that archival repositories have the professional and technical expertise required to manage electronic information. ■

Section III: Electronic Records Preservation at the Center for Legislative Archives



III. Electronic Records Preservation at the Center for Legislative Archives

A. Congressional Records Instance (CRI) of Electronic Records Archive (ERA)

With the support of the Advisory Committee, the Center for Legislative Archives hired its first IT specialist in November 2007 to provide specialized services for House and Senate electronic committee records. Center staff began its efforts with a survey of the congressional electronic records landscape and met with House and Senate committee staff in an effort to determine the scope, scale, and estimated volume of electronic records as well as the variety of records formats in use. Between March and August 2008, the House Archivist arranged visits for Center staff with nineteen of the twenty-three House committees and joint committees.

At the invitation of the Senate Archivist, Center staff also participated in brown bag lunches with Senate staff to discuss electronic records management issues and challenges. Staff also worked directly with several Senate committees and Member offices to discuss electronic records issues specific to their needs.

From information gathered in these meetings with committee staff, the Center and NARA staff developed the requirements for the Congressional Records Instance (CRI) of the agency's Electronic Records Archive (ERA). The CRI is a separate portion of ERA dedicated to the processing, safekeeping, and preservation of electronic records of the House and Senate that has been customized to fit the specific security protections and access and reference needs of the House and Senate. It leverages the existing and developing infrastructure of ERA and is capable of handling the enormous growth in creation of congressional electronic records. The CRI applies the safekeeping and preservation aspects of ERA, providing offsite, geographically remote storage and redundant copies.

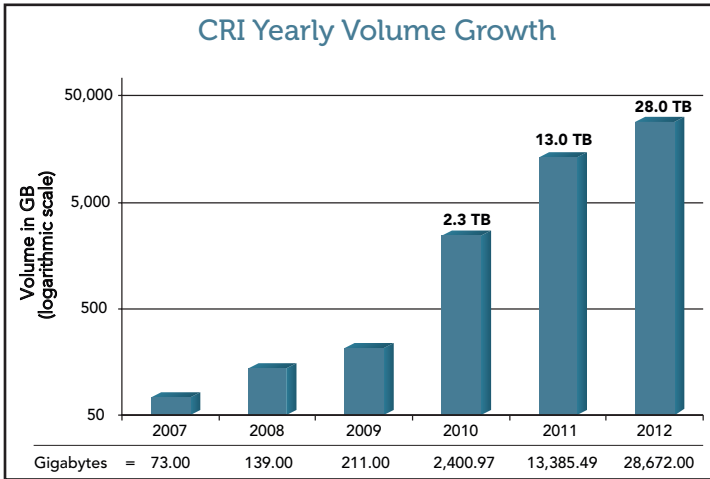
The Center maintains a local instance of CRI to provide committees with expedited access to their records to support the current business

needs of the Congress. This local instance was significantly upgraded and improved in 2012 to enhance the Center's capabilities to ingest, verify, process, search, and make available the electronic records of congressional committees and legislative branch commissions. These changes were necessary to preserve and manage the growing volume of records, as well as to respond quickly to committee requests for their records and to official government agency requests for access to legislative branch commission files.

The features of the new CRI model include:

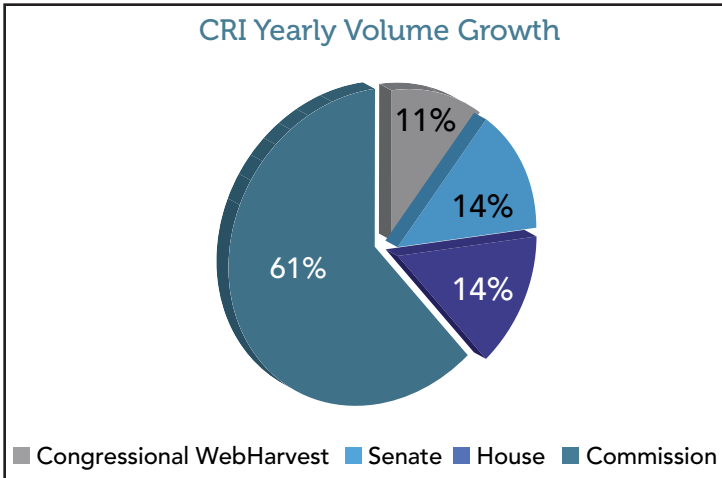
- Addition of three robust workstations to increase agility and reduce the amount of time spent preparing records for transfer into CRI systems.
- Placement of the local CRI electronic record preparation workspace in a physically secure environment better suited to enterprise-level computer equipment.
- Storage capacity upgrades for electronic records preparation systems to allow for higher volume workloads.
- Large-capacity electronic records storage units that can be loaned to congressional record creators during the records transfer process.
- Data protection improvement and restoration capabilities (hardware and software).
- Storage system to preserve classified congressional committee and legislative branch commission electronic records that must be stored separately in secure space.
- Server virtualization capability that will enable the Center to recreate and preserve legacy applications and their data and extract records from a variety of hardware and backup storage media previously transferred to the Center prior to CRI.

B. Preservation in Congressional Records Instance— Electronic Records Archive



Total Electronic Records Holdings in CRI: 28 TB

	Transferred (TB)	Data Preparation (TB)	Preserved in ERA-CRI (TB)
House	4	0.2	3.8
Senate	4	2	2
Congressional Web Harvest	3	0	3
Legislative Commissions	17	11.4	5.6
TOTAL (TB)	28	12.6	14.4



C. Congressional Web Harvests

The Center continues its work preserving the content and appearance of congressional websites by capturing snapshots of websites once at the end of each two-year Congress. These web harvests produce a public reference copy of the websites for the purpose of continual availability to the public, and also produce a record copy to be retained in the holdings of NARA. The web harvests of the 109th, 110th, and 111th Congresses are available to the public at www.webharvest.gov. The Center has archived 1.2 terabytes of web records from the three web harvests. With the closure of the 112th Congress, the Center staff will work with the House and Senate Archivists to ensure that the web presence of the entire Congress is captured and preserved. ■

**Section IV:
Collaborations —
The Congressional Papers
Roundtable and the
Association of Centers
for the Study of Congress**



IV. Collaborations — The Congressional Papers Roundtable and the Association of Centers for the Study of Congress

In 2010, the Mid-Atlantic Regional Archives Conference hosted a panel discussion on congressional collaborations. Three panelists described the interrelated work of the Advisory Committee, the Association of Centers for the Study of Congress (ACSC), and the Congressional Papers Roundtable (CPR). It became clear from these histories that the three organizations have derived strength and inspiration from each other in numerous ways both subtle and direct.

The Congressional Papers Roundtable held its first formal meeting in Chicago at the Society of American Archivists (SAA) annual meeting in 1986. The impetus for its founding began at the 1984 SAA annual meeting in Washington, D.C., that helped celebrate the fiftieth anniversary of the founding of the National Archives. This meeting was the first to include one entire session devoted to political papers. Chaired by Richard Baker, Senate Historian, its theme was “Records of Congress: Recent Trends in Appraisal and Control.” The session inspired the NHPRC to sponsor a conference in 1985 at Harper’s Ferry to which a handful of people involved with congressional papers were invited. At this conference, it was decided that a permanent forum was needed to continue to work on the many issues and projects that participants identified as being necessary to preserve the documentation of Congress. Thus was born the idea for a permanent Congressional Papers Roundtable within SAA. CPR newsletters and other information are available to members and nonmembers at: www2.archivists.org/groups/congressional-papers-roundtable.

In its *Third Report* (December 2000) the Advisory Committee recommended “the development of statewide Public Policy Centers that include a strong archival component with a focus on political and public policy documentation.” In response to this recommendation, the CPR held a Congressional Papers Forum in Washington, D.C., on

August 29, 2001, in conjunction with the annual meeting of the SAA. The forum explored the means and wherewithal needed to establish a network of centers dedicated to the preservation and educational use of congressional collections.

The ACSC grew out of an initial meeting held in May 2003 at the Robert C. Byrd Center for Legislative Studies at Shepherdstown University to expand upon the ideas presented at the August 2001 CPR forum. Forty center directors, archivists, historians, and political scientists convened to discuss ways to advance the public understanding of Congress and to integrate congressional collections into this educational process. The first annual meeting of the ACSC was held in 2004 and there have been annual meetings ever since.

As its website states, “The ACSC draws on the talents and resources of its members to promote a wide range of programs and research opportunities related to Congress. Many of the member institutions house archival collections of the papers of current and former Members of the House of Representatives, the Senate, and related research collections.” The ACSC mission supports a wide range of programs designed to inform and educate students, scholars, policy-makers, and members of the general public on the history of Congress, legislative process, and current issues facing Congress. Central to its mission is the preservation of material that documents the work of Congress, including the papers of Representatives and Senators, and programs that make those materials available for educational and research use. Transcripts of meetings are available to members at: www.congresscenters.org/.

House and Senate Archivists frequently seek the advice and counsel of CPR and ACSC members on matters such as appraisal, acquisition, access, description, and outreach. This shared wisdom and experience is reflected in handbooks and guidance issued to Members’ offices. In 2008, the SAA, using funding from a successful grant proposal submitted by the CPR to the NHPRC, published Cynthia Pease Miller’s *Managing Congressional Collections*, a handbook of best practices for the acquisition, processing, and administration of congressional papers. More recently, the CPR has expanded its educational program from a two-hour meeting

to a full day forum held in conjunction with the annual SAA meeting. The forums have become a major training ground for congressional archivists.

CPR and ACSC programs and exhibits are advertised within the congressional community via the archivists' listserv and the CHARM group. This demonstrates the value of congressional collections to those who create them. Examples of scholarly use are also incorporated into records management training. Papers presented at SAA and at ACSC annual meetings were included in the award winning *An American Political Archives Reader* (Scarecrow Press 2009). This volume serves as a textbook for archival students and is a resource for practicing archivists as they move into the management of political collections for the first time. This is collaboration at the highest level.

In 2011 CPR established a new Task Force on Advocacy, which is recommending the following outreach activities for the CPR membership:

- Expand participation in Congress Week to all CPR repositories and advertise exhibits and programs on the CPR website.
- Produce an online flier to advertise congressional collections with the following themes: what can a repository do for you, connecting people to holdings, archives engages citizens, archives and democracy, and congressional papers are your papers.
- Produce an online advertisement for use in soliciting papers from Members of Congress. This information would describe the services provided by a repository and would be available to Members who are closing their offices. The flier will stress the benefits and strengths of placing materials in a recognized repository with a knowledgeable staff that has the ability to protect and administer sensitive information and the ability to preserve authentic electronic records.
- Continue to collect CPR news about events, educational projects, and exhibits and share on the listserv and website. CPR should also consider the use of social media and Wikipedia as outlets to promote interest in and understanding of congressional collections.

In September 2010, the ACSC gave birth to "Congress Week." The theme, "From Main Street to Capitol Hill," was celebrated jointly by the House, Senate,

and Center for Legislative Archives historians who described their work on congressional history to Hill staff and to local high school students. In 2011, the theme, “Of, By, and For the People,” featured a panel of former John C. Stennis Center fellows discussing their experience as fellows and how it shaped their performance in congressional positions. The 2012 theme was “Congress: Chosen by the People.” To celebrate, Senator Harry Reid introduced a motion to reprint a letter to Members of Congress from Leigh McWhite, chair of the CPR, and Sheryl Vogt, president of the ACSC, encouraging Members to recall H. Con. Res 307 (2008) and reminding them that preservation of their papers “is a long-lasting form of service to constituents in your state and throughout the nation.” Introducing the resolution, Senator Reid stated, “It is important, as Members of Congress, to manage and preserve our own papers for future historical research and study of democracy.” ([See Appendix F.](#))

The ACSC promulgated a “best practices” guideline for establishing a congressional center, which is serving as a roadmap for new centers. The establishment of such centers, at least one in each state, is inspired by the Presidential library system. It is a long sought after goal of congressional historians.

ACSC annual meetings traditionally have a panel of former Members who speak about their collections and their involvement with preserving them. A particularly memorable panel featured Representatives Martin Frost, Louis Stokes, and Robert Walker. The common theme of the session was “start early in your career.” At the end of the session, Louis Stokes was asked what advice he would give to those of us who are trying to inspire all Members to preserve their papers. He didn’t hesitate a moment and said, “Wage a constant campaign.”

The ACSC also provides a forum for historians, archivists, journalists, political scientists, educators, and public policy experts to exchange information on the study of Congress. At the 2011 annual meeting, Loyola University Professor Doug Harris, who was mentored by Joe Cooper, a former member of the Advisory Committee, described how he studies Congress as collections of individuals and uses first person accounts. By using archives, he studies decision making, mistakes, and successes within a larger context.

Another panelist, Matthew Green of Catholic University, addressed the challenges of doing online research. He said it is important for archives to state up front that not everything is available online. Many researchers think that if it's not online, it's not important. What is online will heavily influence future study. Green also noted that online research leads to a decline in serendipity. That is, when you're looking for X in archives, you might discover Y. But online access limits this possibility and discourages interaction with the archivists. The result can be that a researcher will miss information conveyed through conversation with an individual who actually prepared the collection for research. And then a more subtle issue, he said, was the loss of connection, of substance, by not visiting where the legislator worked and lived, and understanding his constituency and local issues. These "collaborations" across professions have provided invaluable insights for donors, researchers, and archivists alike. They are contributing to a rising tide of scholarly interest in congressional studies.

ACSC's annual meetings also sharpened archivists' understanding of the role that collection finding aids play. Presentations by congressional center archivists Rebecca Johnson Melvin of the University of Delaware, Betsy Pittman of the University of Connecticut, and Katherine Stein of the University of Georgia on descriptive standards EAC-CPF (Encoded Archival Context-Corporate bodies, Persons, and Families) radically shaped the Center for Legislative Archives' concept of what a desirable finding aid should be. Researchers want very specific, descriptive information and keyword searching capability. They also want a dynamic finding aid that can sort and resort in the mode of EAC-CPF functionality. Finding aids that allow researchers to add comments also are desirable. Such insights help everyone who is involved with preserving congressional history and using it for educational purposes. In fact, many of these insights have been incorporated into the design of the Center's Next-Generation Finding Aid project.

Awards

A long held goal of the Advisory Committee has been to promote the preservation and use of congressional collections, and there is

no better way than providing scholarship money. ACSC was able to follow through by establishing the Raymond W. Smock Fellowship and Richard A. Baker Graduate Student Travel Grant in 2008 and 2009. The Smock Fellowship provides the means for a young professional to attend the ACSC annual meeting and the Baker Grant supports research in congressional papers. In 2010, the ACSC established a \$1,000 award for National History Day for the best student paper on the history of Congress. ACSC further honored the Congressional Papers Roundtable in 2011 on its twenty-fifth anniversary by creating a scholarship of \$500 to attend the pre-conference Congressional Papers Roundtable forum at the annual meeting of the SAA. This is for an archivist who has begun working on congressional papers, and needs access to experienced congressional archivists, but lacks the institutional support to attend an extra day of the conference.

Activities of the ACSC and its long list of collaborations are described in *Extensions*, A journal of the Carl Albert Congressional Research and Studies Center (Winter 2011). It includes a major address by Archivist of the United States David Ferriero outlining his goals for developing the Center for Legislative Archives; a history of the ACSC by Raymond Smock, director of the Robert C. Byrd Center for Legislative Studies; an article on current projects by Sheryl Vogt, director of the Richard B. Russell Library for Political Research and Studies at the University of Georgia Libraries; and a history of Congress Week. It serves as a very useful promotional tool for institutions that wish to develop into congressional research centers. It is available at: <http://www.ou.edu/carlalbertcenter/extensions/winter2011/Contents.pdf>

Finally, ACSC was the recipient of a large grant from the Kettering Foundation in 2011 to explore what the Foundation has identified as a Problem of Democracy, namely a failure of people to see themselves as participants in political/public life, and thus, take responsibility for it. Participating ACSC institutions committed to training and then convening and moderating three National Issues Forums. This partnership fulfilled an ACSC goal to provide its member institutions training and experience in establishing civic engagement programs that foster public deliberation on important issues that come before Congress

and the nation. This activity not only furthers the study of Congress, the primary mission of ACSC, it also promotes representative democracy—something that congressional centers are uniquely qualified to do. Now, in a second phase of the project, seven ACSC centers are developing an ACSC forum issue guide that will incorporate research and records from center collections. ■

Section V: Educational and Professional Outreach at the Center for Legislative Archives



V. Educational and Professional Outreach at the Center for Legislative Archives

Working independently and with partners, the Center continues to expand its mission of using the records of the House and Senate in public, scholarly, and educational venues to promote public understanding of the history of Congress and of representative government in America. The major areas of activity have included public programs and special events; outreach to scholars; outreach to educators and students; an internship program; and outreach to the public through exhibits and social media.

A. Public Programs and Special Events

The public programs and special events sponsored by the Center with its partners have provided forums promoting increased awareness of Congress, its records, and representative government. In staging these events, the Center has served as the point of contact between the National Archives and two important organizations: the United States Association of Former Members of Congress (FMC) and the Bipartisan Policy Center (BPC).

The following events have been held during the past three years at the National Archives:

In partnership with the U. S. Association of Former Members of Congress (FMC):

- November 2012: “Communicating the Message: Election Results and Ramifications,” as part of the 8th Annual McGowan Forum on Communications (Public Program)
- July 2012: “America Works: The Past, Present, and Future of Job Creation and Employment in America” (Public Program)
- April 2012: “Congressional Campaigns: Past, Present, and Future” (Public Program)
- October 2011: “The Broken Branch” (Public Program)
- June 2011: “Responding to a National Crisis: Congress in the Aftermath of 9/11” (Public Program)

In partnership with the Bipartisan Policy Center (BPC):

- July 2012: Reception for Alvaro Uribe, former President of Colombia (Invitation only)
- February 2012: Dinner for the BPC's Governors' Council (Invitation only)
- September 2011: Program for Congressional staff on the history of bipartisanship and civility in politics (Invitation Only)
- July 2011: Event for the House Committee on Agriculture (Invitation only)

In partnership with the FMC and the Lou Frey Institute of Politics and Government

- October 2010: "Political Rules of the Road" (Public Program)

In partnership with the FMC and BPC:

- June 2010: "Breaking the Stalemate: Renewing a Bipartisan Dialogue" (Public Program)

In partnership with the FMC and the Congressional Black Caucus Foundation:

- January 2010: "Stealth Reconstruction: The Untold Story of Southern Politics and History" (Public Program)

In addition, Center staff has helped inaugurate a Capitol Hill event to mark the September 16 commemoration of Constitution Day and Congress Week. (Hosted by the Senate Historical Office and the Senate Office of Education & Training, in partnership with the House Office of Art and Archives, and the John C. Stennis Center for Public Service Leadership.)

The Center has also facilitated the institution of an annual award at the National History Day award ceremony. A member of the Center staff, serving as Chair of the Education Committee of the Association of Centers for the Study of Congress, has presented the ACSC's \$1,000 "History of Congress" award and prize to the outstanding entry that has Congress as its primary focus.

B. Outreach to Scholars

Conferences

Center staff has conducted outreach to scholars in political science and history by organizing panels and giving presentations at national conferences. Presentations have included:

- “The Civil War and Developmental Politics,” organized and chaired at the Policy History Conference, June 2012.
- “Congressional Centers’ Support for Scholars,” organized at the Association of Centers for the Study of Congress Annual Conference, May 2012.
- “The Art of Politics: Campaigns and the Cartoons of Clifford Berryman,” presented at the Organization of American Historians/National Council on Public History joint-annual conference, April 2012.
- “Archival Resources for Political Scientists,” organized, moderated, and presented workshop in conjunction with the annual meeting of the American Association of Political Scientists, August 2011.
- “An Introduction to Archival Research,” organized and moderated workshop in conjunction with the annual meeting of the American Association of Political Scientists, September 2010.
- “Research Opportunities at the Center for Legislative Archives,” presented at the Organization of American Historians Annual Conference, April 2010.
- “Women’s Voices: 19th Century Private Claims to Congress,” presented at the National Archives Sixth Annual Genealogy Fair, April 2010.
- “Federal History Careers Inside and Outside the Beltway,” presented at the American Historical Association’s Annual Meeting, January 2010.
- “What the Early Congresses Did Not Publish and How It Affects Historical Research,” presented at the American Association of Law Librarians Annual Conference, July 2009.
- “Unusual Finds in Legislative Records,” part of the National Archives 75th Anniversary Expert Series, July 2009, broadcast by C-SPAN.

- “Beyond the Beltway: Federal Historians and Their Engagement with National and International Audiences,” presented at the National Council on Public History Annual Meeting, April 2009.
- “Congressional Archives: Promises and Pitfalls,” presented at the annual History of Congress Conference, The George Washington University, May 2008.
- “Campaigns, Elections and Results,” presented at the Society for History in the Federal Government annual meeting, March 2008.
- “What Difference Does It Make What Congress Published? American History in the Earliest Congressional Documents,” presented at the American Librarian Association Annual Meeting, June 2007.
- “Federal History and the United States Congress: The Biographical Directory,” chaired at the Society for History in the Federal Government Annual Conference, March 2007.

Recent Trends in Scholarship

Over the last five years, the Center has experienced a significant upswing in scholarly use of the records of Congress. This trend has been driven by historians’ renewed interest in politics and policy, political scientists’ increasing awareness of the importance of archival sources, and greater access to more twentieth-century records. Scholars’ interest in the investigative records of the 1950s, which became fully available to researchers in 2010, is especially notable. Researcher interest has been brisk in the records of the Senate Select Committee to Investigate Improper Activities in Labor and Management Field (the McClellan Committee, 1957-1960), the Senate Special Committee to Investigate Organized Crime in Interstate Commerce (the Kefauver Committee, 1950-1951), and the House Un-American Activities Committee. Since 2008, there has been great researcher interest in the records of the Senate Committee on Banking and Currency’s Investigation of Stock Exchange Practices (Pecora Investigation, 1932-1934).

While increased scholarly interest in modern records has been the notable trend, the significance of nineteenth-century petitions to Congress for research in a broad array of subjects has been solidly

established in the academy. Historians interested in such diverse topics as constitutional interpretation, Native Americans, Sunday closing laws, and steamship routes have grounded their research in petitions.

Scholars' demands for nineteenth-century records point to another significant trend—the advent of research teams affiliated with large, multi-year research projects. This trend is most evident in the work conducted by the *Lincoln Papers Project* and the *Harvard Anti-Slavery Petitions Project*, which have deployed large numbers of researchers to research all records of entire Congresses or to survey entire series of records spanning several decades.

Finally, the National Archives Legislative Archives Fellowship has provided the Center new insights into scholarly interest in the holdings. Although the forty-seven applicants in the last two years are a small fraction of scholars' research requests, the pool of fellowship applicants is highly suggestive of who our scholarly researchers are, what subjects bring them to the Center, which institutions they represent, and the committee records most in demand. Since applicants are young scholars conducting cutting-edge research, their work indicates broad trends in scholarly research in the records of Congress.

Visiting Scholars

As an outgrowth of the National Archives Legislative Archives Fellowship, in 2011 the Center began holding brown bag exchanges with fellowship applicants. This year the brown bag series expanded to include other scholars who wanted a forum for exchange with the staff and with other scholars who shared an interest in their work.

The Center has hosted several visiting scholars this year. Archives staff heard 2011 Fellowship applicant Josh Shepperd, a Ph.D. candidate at the University of Wisconsin, Madison, make a presentation on his dissertation topic, *The Educational Origins of American Public Broadcasting, 1921-1967*. The Center also sponsored Dr. Alex Wellerstein, Associate Historian at the American Institute of Physics, who discussed his research in the records of the Joint Committee on Atomic Energy that support his manuscript, *Knowledge and the*

Bomb: Nuclear Secrecy in the United States, 1939-2008. Luis-Alejandro Dinnella-Borrego, a former intern at the Center and a Ph.D. candidate at Rutgers University, discussed his research plans for his dissertation, *African American Politics in the Postbellum South, 1865-1918*. A longtime researcher at the Center, Mordecai Lee, Professor of Political Science at the University of Wisconsin, Milwaukee, spoke about the importance of Center holdings for his new book, *Congress vs. the Bureaucracy: Muzzling Agency Public Relations*. Mark Stegmaier, Professor of History at Cameron University, is another scholar who has frequently used the records of Congress and collaborated with the Center on several projects. He discussed how research at the Center helped him edit and annotate his recent publication, *Henry Adams in the Secession Crisis: Dispatches to the Boston Daily Advertiser, December 1860-March 1861*.

National Archives Legislative Archives Research Fellowship

Instituted in 2010 with the support of the Archivist of the United States, David S. Ferriero, and the Foundation for the National Archives, the \$10,000 National Archives Legislative Archives Fellowship helped the Center fulfill its mandate to promote the use of the records of Congress and to advance the understanding of the history of Congress. Research proposals were considered on topics that used the historical records of Congress housed at the Center for Legislative Archives, as well as other National Archives records and congressional collections at other repositories.

On July 5, 2011, the Archivist announced that Peter Shulman, Assistant Professor of History at Case Western Reserve University, was the recipient of the first award. During his fellowship, Professor Shulman researched Senate and House of Representatives records to help him explore the interplay between technological change, the rise of fossil fuels, and the emergence of the United States as a global power. The fellowship has provided invaluable support in helping Shulman prepare his manuscript, *Engines and Empire: America, Energy, and the World, 1840-1940*, for submission to a major university press for publication.

In all, the 2011 Fellowship attracted twenty-six applications. Twenty-three applicants were Ph.D. candidates with approved dissertation topics and three had received their Ph.D.s within the last five years. The applicants represented six academic disciplines with most from the fields of history (14) and government/political science (7). The institutional homes of the fellowship applicants included major universities at home and abroad, including: Bilkent University (Turkey); Carnegie Mellon University; Case Western Reserve University; Cornell University; George Washington University (3); Harvard University (3); London School of Economics; Oxford University; Texas Christian University; University of California, Santa Barbara (2); University of Illinois, Chicago; University of Illinois, Urbana; University of Maryland (2); University of Massachusetts, Amherst; University of Michigan; University of Tennessee, Knoxville; University of Virginia (3); University of Wisconsin-Madison.

The 2012 Fellowship attracted twenty-one applicants. The highly competitive pool of applicants included eleven affiliated with government/political science departments and ten affiliated with history departments. Fourteen applicants were candidates with approved dissertation topics and seven had received their Ph.D.'s within the last five years. The institutional homes of the fellowship applicants and the number applying from each university were as follows: Australian National University; Carnegie-Mellon University; Cornell University (2); Duke University (2); George Mason University; Rutgers University; Trinity University, Dublin; University of California at Santa Barbara; University of Chicago; University of Colorado, Boulder; University of Illinois at Chicago; University of Massachusetts-Amherst; University of Michigan; University of Tennessee; University of Virginia (3); and University of Wisconsin-Milwaukee.

On July 31, 2012, the 2012 Fellowship was awarded to Pascal Massinon, a Ph.D. candidate in the Department of History at the University of Michigan. Massinon's Ph.D. dissertation topic is "Home Taping: Participant Listeners and the Political Culture of Home Recording in the U.S." His research examines how changes in home-recording technologies shaped the debate over copyright law and influenced the

evolution of the U.S. entertainment industry from the 1950s to the late 1990s. Using House and Senate records, he will explore how Congress changed entertainment industry regulations and how legislators, lobbyists, artists, and diverse business interests understood the role of government with regard to cultural policy. As part of his fellowship, Massinon will make two public presentations: an initial talk to National Archives staff and local historians on his research proposal, and a later presentation of his research findings. He will also blog about his fellowship experience.

C. Outreach to Educators

Workshops

For the past eight years, Center staff played a leading role in an ongoing partnership with Humanities Texas to use the records of Congress to improve the teaching of American history and civics in Texas public schools. Funded in part by the Texas State Legislature, this teacher enrichment program targets teachers of civics and government in underperforming schools and has served nearly nine hundred teachers responsible for the education of more than one hundred thousand Texas students over the last three years.

The Center has inaugurated, during the past two years, a new partnership with an ACSC member, the Lou Frey Institute of Politics and Government at the University of Central Florida, in an effort to help prepare Florida's public school teachers to meet elevated standards in civics articulated in the Sandra Day O'Connor Civics Education Act. Through workshops in Orlando and Clearwater, Center staff has served approximately five hundred fourth through twelfth grade teachers of civics and government with lessons on the Constitution, the Bill of Rights, and how Congress makes legislation.

The Center continued its partnership with the Congressional Black Caucus Foundation (CBCF) by hosting the AVOICE Project Student workshop at the National Archives in 2011 and 2012. The Center and the CBCF also jointly presented a day-long workshop for teachers in 2011 on the Voting Rights Act of 1965.

Center staff has recently presented lessons at teacher workshops held by the Association of Independent Maryland Schools, George W. Bush Presidential Library, Robert C. Byrd Center for Legislative Studies, Dirksen Congressional Center, Capitol Visitor Center, Capitol Historical Society Youth Summit, and Smithsonian American Art Museum.

The Center also worked directly with students from Washington, D.C., regional schools. Schools bringing their students to the Center for hands-on work with the records included the House and Senate Page Schools, Williamsport (MD) High School, The National Cathedral School, The Key School, St. Martin's in the Fields School, and Montclair Kimberly Academy. In addition, Center staff has led classes at The Key School and St. Martin's in the Fields School.

Conferences

Center staff continues to promote the study of Congress through presentations at leading national and regional teacher conferences. These have included presentations at the National Council for the Social Studies Annual Conference (NCSS) and a session at the 2011 National Council for History Education Conference. Several of these presentations were executed in collaboration with the NARA Education Team. Center staff also reached out to charter school educators by presenting at the 2010 Knowledge is Power Charter Schools National Conference in Las Vegas. Regionally, each year from 2008 to 2011, Center staff presented sessions on using the records of Congress at the Association of Independent Maryland Schools Conference in Baltimore, among the largest regional education conferences in the country.

Center staff also worked with additional partners. In 2010, a staff member led a teacher institute session on teaching with the records of Congress for Iowa teachers at the Hoover Library and in 2012 at the Mid-Iowa School Improvement Consortium. In 2011, a staff member led a session at the Dirksen Center's Congress in the Classroom summer workshop for teachers. In 2010, Center staff presented at the groundbreaking event for teachers at the George W. Bush Library.

The staff is also preparing with AIMS (a nonprofit association of independent schools in Maryland and Washington, D.C.) a five-workshop series on teaching with the records of Congress that will train a cohort group of twenty public and independent school educators during the 2012-13 school year.

Educational Materials

Drafted by Center staff, *To Form a More Perfect Union: Congress 1789–1850*, explores how Congress implemented principles articulated by the Founders as it evolved to meet national needs. This project examines five landmark issues from the first six decades of Congress to show the institution creating and innovating in order to fulfill its responsibilities to the American people. Congress continues to use the principles established in these experiences as it addresses today's challenges and national issues. Private funding is being sought to underwrite the publication and distribution of this educational resource. Center staff also wrote a series of articles for national educational publications, including *Social Education* and the National Council for History Education's newsletter.

In addition to these print publications, Center staff continues to create educational materials based on the records of Congress for classroom use. The Center's website presents fully developed and field-tested lesson plans and related source material featured at our teaching institutes and workshops, including lessons on What Congress Does and Why it Matters, Six Big Ideas in the Constitution, Congress and the Bill of Rights, Congress and the Compromise of 1850, Congress and the Voting Rights Act of 1965, Congressional Veto Power, The Legislative Process, and Was Reconstruction a Revolution? Many of these materials are also available through docsteach.org, the award-winning online resource of the National Archives.

Internships

For more than fifteen years, the internship program at the Center has provided opportunities for college students to work in a professional setting, develop a wide range of research skills, hone their writing abilities, and contribute to the Center's educational programs. In

addition to working with the official records of the House and Senate, interns gain experience doing research in original federal government records at NARA. They gain an understanding of the multiple sources of documentation on Congress and the topics on the congressional research agenda requiring further study, which has led some to develop topics for master's theses and Ph.D. dissertations.

The Center has developed partnerships with a number of universities and internship programs to expand the scope and visibility of the Center's mission. In 2009, the Center began receiving graduate students for week-long internships as part of the University of Michigan's Alternative Spring Break Program (ASBP). The Center has hosted five School of Information students from the University's ASBP program. The program has been highly successful for the Archives with one student coming back for summer employment at the Center and one student finding employment as an archivist at the George W. Bush Library. Also in 2009, the Center began participating in the National Archives' Summer Diversity Internship Program. Through this program the Center has hosted three students from both the Hispanic Association of Colleges and Universities and The Washington Center. Additionally, the Center continues to host a summer fellow from the "Stanford-in-Government" program established in 2005.

Since the last Advisory Committee report in 2006, the Center has hosted forty-three interns from a variety of colleges and universities, including undergraduates from Allegheny College, American University, University of Arkansas, Augustana College, Aurora University, University of Boston, Bucknell University, University of California, Cornell University, Franklin and Marshall College, George Washington University, Hope College, Indiana University, University of Maryland, Portland University, St. Mary's College, Stanford University, University of Texas, Tufts University, Villanova University, Washington and Jefferson College, and Washington University in St. Louis. Graduate students have joined us from the George Washington University, Indiana University, University of Maryland, University of Michigan, and University of North Carolina.

D. Outreach to the Public

Capitol Visitor Center

The Center for Legislative Archives has been integral in the creation and ongoing development of the U.S. Capitol Visitor Center (CVC) exhibits. Since 2001, Center staff has provided input on CVC exhibit content, contributing expertise on the history of Congress and guiding the selection of original documents to display. Half of the original documents displayed in the CVC are from the National Archives and of those most are from the Center's holdings. Since its opening in December 2008 the CVC has welcomed more than seven million visitors giving the records of Congress unprecedented exposure.

The ongoing *A More Perfect Union* exhibition in the CVC permanent gallery is a rotating exhibit of original documents arranged by theme. The themes, which highlight different constitutional powers of Congress, are: Unity, Freedom, Common Defense, Exploration, General Welfare and Knowledge. In 2010, the CVC introduced an overall theme for each new document rotation, which has proven to be an effective approach—the exhibit theme “Congress and the Civil War” has been particularly popular.

The Center is devoting an increasing amount of resources to the Capitol Visitor Center. Because documents are displayed on a six-month rotation schedule, the project requires constant attention and new document rotations are always in development. Center staff is continuously searching for new exhibit items; meeting with CVC and Library of Congress staff to discuss themes and select documents; pulling items for review; arranging conservation work; and drafting accompanying labels and text. Center staff members regularly conduct gallery talks and coordinate with the CVC on a variety of joint projects including educational workshops. There are ever-increasing opportunities for partnership and further collaboration with the CVC, which require additional Center staff resources. Since the CVC is the primary exhibit showcase for congressional documents, the Center hopes to devote additional resources to this important project in the coming years.

Exhibits

In 2008, Center staff created the exhibit *Running for Office: Candidates, Campaigns, and the Cartoons of Clifford Berryman*, which opened in the Lawrence F. O'Brien Gallery of the National Archives on February 8, 2008, and ran through August 17, 2008. Timed to correspond with the 2008 presidential primaries and election season, the exhibit featured forty-four of Pulitzer-prize winning cartoonist Clifford Berryman's original pen-and-ink drawings from the U.S. Senate Collection.

During the exhibit's eight-month run, Center staff led numerous curator-guided tours for a diverse array of visitors ranging from school groups to Members of Congress, including a special event for U.S. Senators. Center staff wrote an expanded 110-page exhibit catalog, which included additional cartoons not shown in the exhibit. Senate Majority Leader Harry Reid and Senate Republican Leader Mitch McConnell contributed the foreword to this publication. Center staff also wrote a companion article about Clifford Berryman cartoons and the 1912 election, which was published in the National Archives Magazine *Prologue* (Spring 2008). In addition, staff worked extensively on an accompanying website that allows visitors worldwide to view an online version of *Running for Office* and learn about the American election process as seen through the Berryman cartoons. The website can be found at: www.archives.gov/exhibits/running-for-office/

Due to the overwhelming success of *Running for Office*, a number of related projects arose. In the fall of 2008, the U.S. Embassy in Dubai used the exhibit to teach United Arab citizens about the American democratic process. Embassy staff traveled around the country making presentations based on the Berryman exhibit and recreated the exhibit for an election night event in Dubai. Humanities Texas, the state affiliate of the National Endowment for the Humanities, is currently traveling the exhibit to schools, libraries, and museums in Texas as part of an initiative to support research, education, and public programs in the humanities.

The Majority Loses?

In 2011, Center staff helped create a new interactive exhibit highlighting the records of Congress as part of the National Archives *Public Vaults* (replacing the outdated “Congressional Decisions” section of the exhibit). *The Majority Loses? When Having the Most Votes Isn’t Enough*, explores provisions in the U.S. Constitution that require a supermajority for certain significant actions. The exhibit uses specific examples from the historical records of Congress to illustrate Congress’ role in amending the Constitution, approving treaties, and removing elected government officials from office—all instances when a supermajority is constitutionally required. The popular new exhibit has attracted more visitors to the “Congress” section of the exhibit hall.

Other Exhibits

Center staff continued to promote the use of congressional documents in National Archives exhibits and in exhibitions nationwide. Center staff played a critical role in a number of Archives’ exhibits in recent years including: *1783: Subject or Citizen* (2008–2009); *BIG! Celebrating the 75th Anniversary National Archives* (2009–2010); *Discovering the Civil War* (2010–2011); and [*What’s Cooking, Uncle Sam? The Government’s Effect on the American Diet*](#) (2011–2012). Center staff also played a prominent role in selecting documents for the rotating exhibits in the *Public Vaults* and for the upcoming permanent exhibit in the new Rubenstein gallery scheduled to open in 2013.

Outside of the National Archives, Center staff worked with numerous institutions to lend original or display copies of congressional records. Recent venues include: The National Constitution Center, the New-York Historical Society, the Clinton and Ford Presidential Libraries, Women’s Rights National Historical Park, the National Park Service at Independence National Historical Park, and the Harriet Tubman Museum in Macon, Georgia.

Statehood Anniversaries and other Significant Events

To observe significant anniversaries and events, the Center created historical document facsimile packets with reproductions of notable

House and Senate records. These facsimile packets were distributed to Members of Congress and other important recipients. Staff created packets to commemorate: Oklahoma's Centennial (2007), Hawaii's Fiftieth Anniversary (2009), Kansas's Sesquicentennial (2011), New Mexico's Centennial (2012), Arizona's Centennial (2012), and Louisiana's Bicentennial (2012). Staff also created commemorative packets to honor the late Senator Edward Kennedy and the late Senator Robert C. Byrd. Staff created a companion website for each of these events—an archive of these, and all featured documents, is available at: www.archives.gov/legislative/features/

Social Media

The Center for Legislative Archives began contributing to the National Archives' social media projects in September 2011. At the suggestion of the Archivist of the United States, the Center started its own microblog on Tumblr called *Congress in the Archives* (<http://congressarchives.tumblr.com>). The Center's blogger posts three to five times a week, highlighting topical events in congressional history and the historical records within our holdings. Topics have included serious events, such as the 1978 tragedy in Jonestown, and more light-hearted moments, including Elmo testifying before a House subcommittee in 2002. The blog features other Center staff each month with a guest staff post. Center researchers are also invited to contribute to the blog. So far, the Center has featured two posts written by researchers.

The Center has also contributed to the National Archives' Flickr page, adding its own collection of images of House and Senate records on topics ranging from the Missouri Compromise to the Gulf of Tonkin Resolution. The Center and National Archive's social media teams will continue to upload new photosets of images regularly. ■

Appendix A: Presidential Memorandum — Managing Government Records



The White House

Office of the Press Secretary

For Immediate Release

November 28, 2011

Presidential Memorandum — Managing Government Records

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Managing Government Records

Section 1. Purpose.

This memorandum begins an executive branch wide effort to reform records management policies and practices. Improving records management will improve performance and promote openness and accountability by better documenting agency actions and decisions. Records transferred to the National Archives and Records Administration (NARA) provide the prism through which future generations will understand and learn from our actions and decisions. Modernized records management will also help executive departments and agencies (agencies) minimize costs and operate more efficiently. Improved records management thus builds on Executive Order 13589 of November 9, 2011 (Promoting Efficient Spending), which directed agencies to reduce spending and focus on mission critical functions.

When records are well managed, agencies can use them to assess the impact of programs, to reduce redundant efforts, to save money, and to share knowledge within and across their organizations. In these ways, proper records management is the backbone of open Government.

Decades of technological advances have transformed agency operations, creating challenges and opportunities for agency records management.

Greater reliance on electronic communication and systems has radically increased the volume and diversity of information that agencies must manage. With proper planning, technology can make these records less burdensome to manage and easier to use and share. But if records management policies and practices are not updated for a digital age, the surge in information could overwhelm agency systems, leading to higher costs and lost records.

We must address these challenges while using the opportunity to develop a 21st-century framework for the management of Government records. This framework will provide a foundation for open Government, leverage information to improve agency performance, and reduce unnecessary costs and burdens.

Sec. 2. Agency Commitments to Records Management Reform.

- (a) The head of each agency shall:
 - i. ensure that the successful implementation of records management requirements in law, regulation, and this memorandum is a priority for senior agency management;
 - ii. ensure that proper resources are allocated to the effective implementation of such requirements; and
 - iii. within 30 days of the date of this memorandum, designate in writing to the Archivist of the United States (Archivist), a senior agency official to supervise the review required by subsection (b) of this section, in coordination with the agency's Records Officer, Chief Information Officer, and General Counsel.
- (b) Within 120 days of the date of this memorandum, each agency head shall submit a report to the Archivist and the Director of the Office of Management and Budget (OMB) that:
 - i. describes the agency's current plans for improving or maintaining its records management program, particularly with respect to managing electronic records, including email and social media, deploying cloud based services or storage solutions, and meeting other records challenges;

- ii. identifies any provisions, or omissions, in relevant statutes, regulations, or official NARA guidance that currently pose an obstacle to the agency's adoption of sound, cost effective records management policies and practices; and
- iii. identifies policies or programs that, if included in the Records Management Directive required by section 3 of this memorandum or adopted or implemented by NARA, would assist the agency's efforts to improve records management.

The reports submitted pursuant to this subsection should supplement, and therefore need not duplicate, information provided by agencies to NARA pursuant to other reporting obligations.

Sec. 3. Records Management Directive.

- (a) Within 120 days of the deadline for reports submitted pursuant to section 2 of this memorandum, the Director of OMB and the Archivist, in coordination with the Associate Attorney General, shall issue a Records Management Directive that directs agency heads to take specific steps to reform and improve records management policies and practices within their agency. The directive shall focus on:
 - i. creating a Government wide records management framework that is more efficient and cost effective;
 - ii. promoting records management policies and practices that enhance the capability of agencies to fulfill their statutory missions;
 - iii. maintaining accountability through documentation of agency actions;
 - iv. increasing open Government and appropriate public access to Government records;
 - v. supporting agency compliance with applicable legal requirements related to the preservation of information relevant to litigation; and

- vi. transitioning from paper-based records management to electronic records management where feasible.
 - vii. In the course of developing the directive, the Archivist, in coordination with the Director of OMB and the Associate Attorney General, shall review relevant statutes, regulations, and official NARA guidance to identify opportunities for reforms that would facilitate improved Government wide records management practices, particularly with respect to electronic records. The Archivist, in coordination with the Director of OMB and the Associate Attorney General, shall present to the President the results of this review, no later than the date of the directive's issuance, to facilitate potential updates to the laws, regulations, and policies governing the management of Federal records.
- (b) In developing the directive, the Director of OMB and the Archivist, in coordination with the Associate Attorney General, shall consult with other affected agencies, interagency groups, and public stakeholders.

Sec. 4. General Provisions.

- (a) This memorandum shall be implemented consistent with applicable law and subject to the availability of appropriations.
- (b) Nothing in this memorandum shall be construed to impair or otherwise affect:
 - i. authority granted by law to a department or agency, or the head thereof; or
 - ii. functions of the Director of OMB relating to budgetary, administrative, or legislative proposals.
- (c) This memorandum is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity by any party against the United States, its departments, agencies, or entities, its officers, employees, or agents, or any other person.

Sec. 5. Publication.

The Archivist is hereby authorized and directed to publish this memorandum in the *Federal Register*.

BARACK OBAMA

**Appendix B:
Statement of Majority Leader
Harry Reid:
Preserving Electronic Records**



Appendix B: Statement of Majority Leader Harry Reid

"Preserving Electronic Records." Congressional Record 157:186 (Dec 6, 2011) p.S8371

www.gpo.gov/fdsys/pkg/CREC-2011-12-06/pdf/CREC-2011-12-06-pt1-PgS8371-2.pdf#page=1

Mr. REID. Mr. President, I was pleased to see that the President of the United States has issued a memorandum directing executive branch agencies to reform their records management. The goal is to improve performance, promote accountability, and increase government transparency by better documenting agency actions and decisions. The President's memorandum noted that the current Federal records management system is based on an outdated approach involving paper and filing cabinets, and it outlines a framework for moving the records management process into the digital age by including plans for preserving electronic records. This issue was highlighted in a recent report of the National Archives and Records Administration, which warned that Federal agencies have done a poor job of managing the increased volume and diversity of information that comes with advances in information technology.

I commend the President for taking this action, and I am pleased to say that the U.S. Senate is already carrying out the practices for its own records that he has recommended for the executive branch. Over the last 10 years, the Senate has preserved an average of 3,000 to 4,000 feet of textual records for each Congress. Those paper records have been supplemented by 2.5 terabytes of electronic records. The Senate's electronic records are being preserved at the Center for Legislative Archives within the National Archives.

With guidance provided by the Secretary of the Senate, 75 percent of all Senate committees are now engaged in archival preservation of their digital records. Several Senate committees have responded to the increased volume and complexity of electronic records by hiring

professionally trained archivists to appraise, describe, and transfer these materials.

The operations of every Senate office have been transformed over the last decade. Our greater reliance on electronic communication and records systems has increased the need for preservation planning. Just as the paper records of the U.S. Senate, dating back to 1789, have been carefully archived, records generated digitally in the 21st century will require diligent attention if they are to survive for future use. ■

Appendix C: Statement of Nancy Erickson, Secretary of the Senate



Appendix C: Statement of Nancy Erickson, Secretary of the Senate

Before the Senate Appropriations Subcommittee on the Legislative Branch March 22, 2012

Mr. Chairman and Senator Hoeven, the Senate generates a great many records, some published, some not. As Secretary, it is my responsibility to oversee the regular transfer of Senate committee records to the National Archives where they can be preserved both for the committee's future use and for historical research. The archivists in the Senate Historical Office are also providing advice to the individual senators on how and where to archive their records of their own offices. The task has grown exceedingly more complex with the enormous expansion of electronic communications.

Recently, President Obama directed all executive branch agencies to reform their records management to improve performance, accountability and increase government transparency by better documenting their actions and decisions. I am pleased to report that the Senate began well before and is well ahead of the Executive Branch. The Senate has preserved an average of three to four thousand feet of textual records for each congress. Those paper records have been supplemented by 2.6 terabytes of electronic records, and committee records that are stored at the Center for Legislative Archives. ■

Appendix D: Intelligence Authorization Act for Fiscal Year 2012



Appendix D: Intelligence Authorization Act for Fiscal Year 2012

Calendar No. 124
112TH Congress Report
1st Session
Senate Report 112–43

INTELLIGENCE AUTHORIZATION ACT FOR FISCAL YEAR 2012

AUGUST 1, 2011.—Ordered to be printed

Mrs. FEINSTEIN, from the Select Committee on Intelligence, submitted the following REPORT together with ADDITIONAL VIEWS [To accompany S. 1458]

Classification review of historical records

Under Executive Order 13526, the Executive Branch has a system in place for determining whether older classified materials contain sensitive information that warrant continued classification. While no such obligation rests on the Legislative Branch, the Committee has taken recent action to address the declassification review of Committee records based on their age. For example, Section 702 of the Intelligence Authorization Act for fiscal year 2010 authorized the DNI, at the request of one of the congressional intelligence committees and in accordance with that committee's procedures, to conduct a classification review of materials that are not less than 25 years old and were created or provided to the committee by an executive branch entity. Section 702 enables the Committee to determine whether a portion of its historical records of congressional oversight of the Intelligence Community may be made public in a manner consistent with national security. The Committee is now considering whether portions of the Committee's oversight work, using that executive branch information among other sources, may also be released in a manner consistent both with national security and Senate practice concerning historical records. In all cases, the

final decision about any release of historical records remains with the Committee. Senate Resolution 400 of the 94th Congress (1976), which established the Committee, transferred to the Committee the records of the Select Committee on Governmental Operations with Respect to Intelligence Activities, generally known as the Church Committee. That committee helped to establish the groundwork for our current system of intelligence oversight, including the creation of the congressional intelligence committees. The Church Committee released a substantial public record before concluding its work in 1976, but some parts of its report as well as hearings and depositions on significant matters remain classified. The Committee accordingly requests that the Director of National Intelligence provide guidance to the Committee on how to design and prioritize an approach to the review and release, where appropriate, of early records. The approach should also consider all costs associated with any declassification review and potential release of information. The Committee notes that the Senate Historian has worked with Senate committees on the review of classified historical records such as those involved in the Committee on Foreign Relations' twenty-volume publication of its executive sessions from 1947–1968 (see S. Prt. 111–23, the 1968 volume released in 2010). The Committee may invite the participation of this Senate office within the boundaries of clearance requirements. ■

Appendix E: Congressional Resolution 307



Appendix E: Congressional Resolution 307

H. Con. Res. 307

Agreed to June 20, 2008

One Hundred Tenth Congress of the United States of America

AT THE SECOND SESSION

*Begun and held at the City of Washington on Thursday,
the third day of January, two thousand and eight*

Concurrent Resolution

Whereas Members' Congressional papers (including papers of Delegates and Resident Commissioners to the Congress) serve as indispensable sources for the study of American representative democracy;

Whereas these papers document vital national, regional, and local public policy issues;

Whereas these papers are crucial to the public's understanding of the role of Congress in making the Nation's laws and responding to the needs of its citizens;

Whereas because these papers serve as essential primary sources for the history of Congress, the study of these papers will illuminate the careers of individual Members;

Whereas by custom, these papers are considered the personal property of the Member who receives and creates them, and it is therefore the Member who is responsible to decide on their ultimate disposition; and

Whereas resources are available through the Office of the Clerk of the House of Representatives and the Secretary of the Senate to assist Members with the professional and cost-effective management and preservation of these papers: Now, therefore, be it

Resolved by the House of Representatives (the Senate concurring), That it is the sense of Congress that—

- (1) Members' Congressional papers (including papers of Delegates and Resident Commissioners to the Congress) should be properly maintained;
- (2) each Member of Congress should take all necessary measures to manage and preserve the Member's own Congressional papers; and
- (3) each Member of Congress should be encouraged to arrange for the deposit or donation of the Member's own noncurrent Congressional papers with a research institution that is properly equipped to care for them, and to make these papers available for educational purposes at a time the Member considers appropriate.

Attest:

Clerk of the House of Representatives.

Attest:

Secretary of the Senate.

Appendix F: Congress Week Letter



Appendix F: Congress Week Letter

SEPTEMBER 2012

DEAR MEMBER OF CONGRESS: In honor of Congress Week (16–22 September 2012), the Congressional Papers Roundtable (CPR) and the Association of Centers for the Study of Congress (ACSC) encourage you to remember H. Con. Res. 307 (5 March 2008), “expressing the sense of Congress that Members’ Congressional papers should be properly maintained and encouraging Members to take all necessary precautions to manage and preserve these papers.”

Established in 1986, the Congressional Papers Roundtable is composed of members of the Society of American Archivists who work with or have an interest in the papers of members of Congress and the records of Congress. CPR provides a forum for discussing developments and developing guidelines in the preservation and management of congressional papers and records.

In 2003, ACSC was founded as an independent alliance of institutions and organizations that support a wide range of programs designed to inform and educate students, scholars, policy-makers, and members of the general public on the history of Congress, legislative process, and current issues facing Congress. ACSC encourages the preservation of material that documents the work of Congress, including the papers of representatives and senators, and supports programs that make those materials available for educational and research use. The association also welcomes the participation of institutions and individuals committed to the goal of promoting a better understanding of Congress.

ACSC has sponsored an annual celebration of “Congress Week” since 2009. The central goal of this national initiative is to foster the study of the U.S. House and Senate, and to promote a wider appreciation for the vital role the legislative branch plays in our representative democracy. This year’s theme, “Congress: Chosen by the People,” is drawn directly from language in the Constitution and emphasizes that Congress is the only branch directly elected by the people. During Congress Week, ACSC members and

participating organizations will feature a range of events including lectures and exhibits to highlight the role of legislative branch and the participatory role of citizens in registering to vote, staying informed on issues, and making one's opinions known to members of Congress.

Every day, the House and Senate make significant contributions to our nation's history. As a Member of Congress, the archival preservation of your papers is a long-lasting form of service to constituents in your state and throughout the nation. We urge you to embrace the tenets of H. Con. Res. 307:

1. Members' Congressional papers (including papers of Delegates and Resident Commissioners to the Congress) should be properly maintained;
2. each Member of Congress should take all necessary measures to manage and preserve the Member's own Congressional papers; and
3. each Member of Congress should be encouraged to arrange for the deposit or donation of the Member's own noncurrent Congressional papers with a research institution that is properly equipped to care for them, and to make these papers available for educational purposes at a time the Member considers appropriate.

Documenting our democracy through the preservation of the record created by Congress is the work of many. In addition to the efforts of the National Archives, the endeavor involves the efforts of libraries, archival repositories, historical societies, and congressional and public policy centers in every state across the nation. We cannot succeed without you. Please take steps to preserve the historical legacy of your state and nation as represented in the records generated by your congressional office.

Sincerely,

LEIGH MCWHITE, CHAIR, *Congressional Papers Roundtable*,
Society Association of American Archivists and Political Papers
Archivist, University of Mississippi.

SHERYL B. VOGT, PRESIDENT, *Association of Centers for the*
Study of Congress and Director, Richard B. Russell Library for Political
Research and Studies.

U.S. SENATE,
OFFICE OF THE SECRETARY,
Washington, DC, September 13, 2012.

Hon. Harry Reid,
*Majority Leader, U.S. Senate,
Washington, DC.*

DEAR SENATOR REID: The week of September 17, 2012 marks the third annual celebration of Congress Week, sponsored by the Association of Centers for the Study of Congress (ACSC). The ACSC was founded in 2003 as an independent alliance of institutions that preserve the papers of members of Congress and promote the study of Congress through the educational use of these collections.

This year's celebration builds on successful Congress Weeks in 2010 and 2011, observed by 35 member institutions around the country through lectures, film series, exhibits, and appearances by members of Congress. For Congress Week 2012, the ACSC and the Congressional Papers Roundtable would like to call attention to H. Con. Res. 307 (2008) by asking you to insert the attached letter into the Congressional Record.

As Chair of the Advisory Committee on the Records of Congress, I support this request because it encourages members of Congress to preserve their records and history.

Sincerely,

NANCY ERICKSON,
Secretary of the Senate

Appendix G: Biographies



Appendix G: Biographies

COMMITTEE MEMBERS

Nancy Erickson

Nancy Erickson was elected Secretary of the Senate when the Senate convened on January 4, 2007. She is the thirty-second person, and the sixth woman, to serve as Secretary of the Senate. Erickson, a native of South Dakota, received Bachelor of Arts degrees in government and history from Augustana College in Sioux Falls, South Dakota, in 1984. She also earned a master's degree in public policy from the American University in Washington, D.C., in 1987. Ms. Erickson spent sixteen years as a member of Senator Tom Daschle's staff and held a variety of positions in the legislative, scheduling, and constituent outreach functions of the office. She was named Deputy Chief of Staff following Senator Daschle's election as Democratic Leader. Most recently, Ms. Erickson has served as the Democratic Representative in the Senate Sergeant at Arms (SAA) office, a position appointed by Senator Harry Reid.



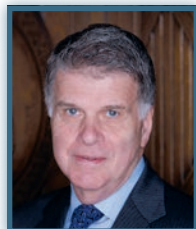
Karen L. Haas

Sworn in as Clerk of the U.S. House of Representatives for the 112th Congress on January 5, 2011, Karen Lehman Haas plays a central role in the legislative activities and daily operations of the House. She is the thirty-fourth individual to serve as Clerk. This is her second tenure as Clerk; she previously served from 2005 to 2007. Ms. Haas has twenty-four years of experience in congressional staff positions, including roles as Floor Assistant to Speaker of the House J. Dennis Hastert and Minority Staff Director for the House Small Business Committee. She is a native of Maryland and holds a degree from the University of Maryland, College Park, with a major in political science.



David S. Ferriero

David S. Ferriero was sworn in as tenth Archivist of the United States on November 13, 2009. Previously, Mr. Ferriero served as the Andrew W. Mellon Director of the New York Public Libraries (NYPL). In this position he was part of the leadership team responsible for integrating the four research libraries and eighty-seven branch libraries into one seamless service for users; and was in charge of collection strategy; conservation; digital experience and strategy; reference and research services; and education, programming, and exhibitions. Before joining the NYPL in 2004, Mr. Ferriero served in top positions at two of the nation's major academic libraries, the Massachusetts Institute of Technology in Cambridge, MA, and Duke University in Durham, NC. Mr. Ferriero earned bachelor's and master's degrees in English literature from Northeastern University in Boston and a master's degree from the Simmons College of Library and Information Science, also in Boston. He served in the U.S. Navy during the Vietnam War.



Donald A. Ritchie

Donald A. Ritchie, Historian of the U.S. Senate, graduated from the City College of New York and holds a PhD from the University of Maryland. He has served as president of the Oral History Association and on the councils of the American Historical Association and the Society for History in the Federal Government. His books include *Press Gallery: Congress and the Washington Correspondents* (which won the Richard Leopold Prize from the Organization of American Historians); *Reporting from Washington: The History of the Washington Press Corp*; *Electing FDR: The New Deal Campaign of 1932*; *Our Constitution*; *Doing Oral History*; and *The U.S. Congress: A Very Short Introduction*.



Matthew Wasniewski

Matthew Wasniewski is the Historian of the U.S. House of Representatives. The House Historian's Office researches, records, and disseminates information about the individuals and events that have shaped the institution's history since 1789. Prior to his appointment as Historian by House leadership in 2010, Dr. Wasniewski served as the historian and deputy chief in the House Clerk's Office of History and Preservation. He is the immediate past president of the Society for History in the Federal Government, and chair of the Organization of American Historians' Public History Committee (2012–2013). He earned bachelor's and master's degrees from James Madison University and holds a PhD in U.S. history from the University of Maryland at College Park.



Terry L. Birdwhistell

Terry L. Birdwhistell is Dean of Libraries and holds the William T. Young Endowed Chair at the University of Kentucky. During his nearly four decades at UK he has also served as Associate Dean for Special Collections and Digital Programs, University Archivist, and Director of the Louie B. Nunn Center for Oral History. Dr. Birdwhistell serves as Co-General Editor of *Kentucky Remembered: An Oral History Series* published by the University Press of Kentucky. At UK Dr. Birdwhistell serves on the Steering Committee for the Institute for Rural Journalism and Community Issues and is an Adjunct Associate Professor in the Department of Educational Policy Studies and Evaluation. Dr. Birdwhistell earned his bachelor of arts degree in American Studies from Georgetown College. He also earned master's degrees in both history and library and information science and a PhD in Educational Policy Studies, all from the University of Kentucky.



Sharon Leon

Sharon Leon is the Director of Public Projects at the Roy Rosenzweig Center for History and New Media, and Research Associate Professor in the History and Art History Department at George Mason University. She received her bachelor of arts degree in American studies from Georgetown University in 1997, and her PhD in American Studies from the University of Minnesota in 2004. Her book, *An Image of God: Catholics and American Eugenics* is forthcoming from the University of Chicago Press. At CHNM, Dr. Leon oversees collaborations with library, museum, and archive partners from around the country. She manages the Center's digital exhibit and archiving projects, as well as research and tool development for public history. Finally, Dr. Leon writes and presents on using technology to improve the teaching and learning of historical thinking skills.



Jeffrey W. Thomas

Jeffrey W. Thomas has been the Archivist for the Ohio Congressional Archives at The Ohio State University since 1999. Prior to his present position he worked for twelve years as the acquisitions archivist at the Ohio Historical Society. A long-term member of the Society of American Archivists, he served in various leadership positions of the Congressional Papers Roundtable from 2003 through 2008. During his tenure as chairman of the roundtable he headed the editorial advisory board for Cynthia Pease Miller's *Managing Congressional Collections*, published by the SAA in 2008. A member of the Advisory Committee on the Records of Congress since 2008, Mr. Thomas serves as Speaker John Boehner's appointee.



Sheryl B. Vogt

Sheryl B. Vogt is Director of the Richard B. Russell Library for Political Research and Studies at the University of Georgia Libraries, a position she has held since 1981. Responsible for the administration and development of the Russell Library, she has fostered a program that documents the broadest range of modern political and policy research subject matter and engages in a variety of public programming and strategic partnerships such as that with the university's Foot Soldier Project for Civil Rights Studies. Ms. Vogt is a Fellow of both the Society of American Archivists and the Society of Georgia Archivists, and a member of the Academy of Certified Archivists. A founding member of the Congressional Papers Roundtable, she served as chair, 1994-1996. She holds appointments to the Advisory Committee on the Records of Congress and the Georgia Historical Records Advisory Board, and was the 2004 recipient of Scone Foundation's international Archivist of the Year Award. Currently, Ms. Vogt serves as president of the Association of Centers for the Study of Congress.



Steven D. Zink

Steven Zink became Vice Chancellor, Information Technology of the Nevada System of Higher Education (central organization over all of Nevada's public institutions of higher education) in early 2011 after serving for fifteen years as the Vice President, Information Technology and Dean, University Libraries for the University of Nevada, Reno. Dr. Zink holds undergraduate and graduate degrees in history, a master of library science degree, and a PhD in information systems science. He has authored several books and over 120 publications in history, IT, and information policy. Dr. Zink served as Editor-in-Chief of the *Journal of Government Information* (Elsevier-Science) for twenty years and is a long-time editorial board member of other scholarly journals. Dr. Zink has served as advisor/consultant to numerous publishers, information services, and technology firms, government agencies, universities, and libraries. He is a frequent lecturer in the areas of knowledge management and information policy.



COMMITTEE STAFF

Richard H. Hunt

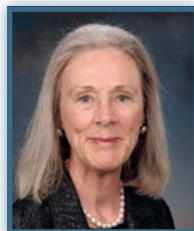
Richard H. Hunt has served as the Director of the Center for Legislative Archives, at the National Archives, since 2004, administering the staff responsible for the official records of the U.S. House of Representatives and U.S. Senate. Hunt began his career at the National Archives in 1989 and at the Center in 1991, where he has served as assistant director and congressional outreach specialist.



Before coming to the National Archives, Mr. Hunt was a lecturer for five years at the University of California, San Diego and at Loyola Marymount University in Los Angeles, where he taught courses in United States history. Hunt did graduate work in history at the University of California, San Diego and has a bachelor's degree in history and social studies from the State University of New York at Albany.

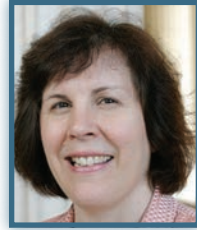
Karen D. Paul

Karen D. Paul has served as the first Senate Archivist since 1982. She was a founding member of the Academy of Certified Archivists, the Congressional Papers Roundtable (CPR), and the Association of Centers for the Study of Congress (ACSC). Her publications include the Senate's first *Records Management Handbook for United States Senators and Their Archival Repositories* (1985), which won the Mid-Atlantic Regional Archives' Arline Custer Award. In 1988 Ms. Paul published the *Records Management Handbook for Senate Committees*, which included the first definition of Senate records. Other publications include a *Guide to Research Collections of Former United States Senators* (S. Doc. 103-35) (1995), now on-line at bioguide.congress.gov; *The Documentation of Congress: Report of the Congressional Archivists Task Force on Congressional Documentation* (S.Pub.102-20)(1992); principal author of H. Con. Res. 307 (2008); and principal editor and contributor with Glenn Gray and Rebecca Johnson Melvin, *An American Political Archives Reader* (which won the Society of American Archivists' Waldo Gifford Leland prize in 2010).



Robin Reeder

Robin Reeder is the House Archivist for the U.S. House of Representatives where she has worked since 2001. She is responsible for overseeing the management and preservation of the official committee and officer records of the House, as well as providing records management guidance to individual House Members. Prior to coming to the House, Ms. Reeder was the Assistant Curator of Manuscripts for the Moorland-Spangarn Research Center, Howard University. She also has worked for History Associates, Incorporated in Rockville, MD, and in the archives of the National Gallery of Art in Washington, DC. Ms. Reeder is a Certified Archivist and earned her master of library science degree from the University of Maryland and her bachelor of arts degree from Mary Washington College. ■



Appendix H: Statute Establishing Advisory Committee



Appendix H: Statute Establishing Advisory Committee

Public Law 101-509—November 5, 1990

“Chapter 27— Advisory Committee On The Records Of Congress.

“Sec.

“2701. Advisory Committee on the Records of Congress.

“2702. Membership; chairman; meetings.

“2703. Functions of the Committee.

“2704. Powers of the Committee.

“2705. Compensation and travel expenses.

“2706. Administrative provisions.

“§ 2701. Advisory Committee on the Records of Congress

“(a) There is established the Advisory Committee on the Records of Congress (hereafter in this chapter referred to as the Committee).

“(b) The Committee shall be subject to the provisions of the Federal Advisory Committee Act (5 U.S.C. App.), except that the Committee shall be of permanent duration, notwithstanding any provision of section 14 of the Federal Advisory Committee Act.

“§ 2702. Membership; chairman; meetings.

“(a)(1) The Committee shall consist of the eleven members including—

“(A)(i) the Secretary of the Senate;

“(ii) the Clerk of the House of Representatives;

“(iii) the Archivist of the United States;

“(iv) the Historian of the Senate; and

“(v) the Historian of the House of Representatives; and

“(B) six members of whom one shall be appointed by each of the following:

- “(i) the Speaker of the House of Representatives;
- “(ii) the Minority Leader of the House of Representatives;
- “(iii) the Majority Leader of the Senate;
- “(iv) the Minority Leader of the Senate;
- “(v) the Secretary of the Senate; and
- “(vi) the Clerk of the House of Representatives.

“(2) Each member appointed under paragraph (1)(B) shall have knowledge or expertise in United States history, archival management, publishing, library science, or use of legislative records.

“(b) The Secretary of the Senate shall serve as Chairman during the two-year period beginning on January 1, 1991, and the Clerk of the House of Representatives shall serve as Chairman during the two-year period beginning on January 1, 1993. Thereafter, such members shall alternate serving as Chairman for a term of two years.

“(c)(1) Members of the Committee referred to in subsection(a)(1)(A) shall serve only while holding such offices. Members appointed to the Committee under subsection (a)(1)(B) shall serve for a term of two years, and may be reappointed without limitation. The initial appointments for such terms shall begin on January 1, 1991.

“(2) Any vacancy on the Committee shall not affect the powers of the Committee. Any vacancy in an appointed position on the Committee shall be filled in the same manner in which the original appointment was made.

“(d)(1) No later than thirty days after the date on which the first session of the 102d Congress begins, the Committee shall hold its first meeting. Thereafter, the Committee shall meet semiannually or at the call of a majority of its members.

“(2) Seven members of the Committee shall constitute a quorum, but a lesser number may hold hearings.

“§ 2703. Functions of the Committee

“The Committee shall—

“(1) review the management and preservation of the records of Congress;

“(2) report to and advise the Congress and the Archivist of the United States on such management and preservation; and

“(3)(A) no later than December 31, 1991, conduct a study and submit a report to the Congress on—

“(i) the effect any transfer of records of the National Archives and Records Administration from facilities located in Washington, D.C., to any location outside of Washington, D.C., shall have on the management and preservation of the records of Congress; and

“(ii) the five year plan for the management and preservation of the records of Congress; and

“(B) no later than December 31, 1995, conduct a study to update the report submitted under subparagraph (A)(ii), and submit a report to the Congress.

“§ 2704. Powers of the Committee

“(a) For purposes of carrying out the duties referred to under section 2703, the Committee or, on the authorization of the Committee, any subcommittee or member thereof, may hold such hearings, sit and act at such times and places, take such testimony, and receive such evidence as is appropriate.

“(b) The Committee may secure directly from any department or agency of the United States such information as the Committee may require to carry out the duties referred to under section 2703. Upon request of the Chairman of the Committee, the head of such department or agency shall furnish such information to the Committee.

“§ 2705. Compensation and travel expenses

“A member of the Committee may not be paid compensation for service performed as a member of the Committee. However, members of the Committee shall be allowed travel expenses, including per diem in lieu of subsistence, at rates authorized for employees of agencies under subchapter I of chapter 57 of title 5, United States Code, while away from their homes or regular places of business in the performance of service for the Committee.

“§ 2706. Administrative provisions

“(a) Upon request of the Committee, the head of any Federal agency is authorized to detail to the Committee, on a nonreimbursable basis, any of the personnel of such agency to assist the Committee in carrying out the duties referred to under section 2703 and such detail shall be without interruption or loss of civil service status or privilege.

“(b) For purposes of supporting the Committee, the Archivist may obtain the services of experts and consultants in accordance with the provisions of section 3109 of title 5, United States Code, but at rates for individuals not to exceed the daily equivalent of the minimum annual rate of basic pay payable for GS-16 of the General Schedule under section 5332 of such title.”

(2) The table of chapters for title 44, United States Code, is amended by inserting after the item relating to chapter 25 of such title the following:

“27. Advisory Committee on the Records of Congress 2701”. ■



