National Archives and Records Administration

NATIONAL ARCHIVES

FY 2017
CONGRESSIONAL JUSTIFICATION

February 9, 2016

National Archives and Records Administration

SUMMARY of the FY 2017 REQUEST

Fiscal Year 2017 Budget Request

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Summary of the Request

The FY 2017 budget of the National Archives and Records Administration (NARA) requests $398 million in discretionary appropriations. This is an increase of $8.9 million from amounts provided to NARA appropriations in FY 2016 Consolidated Appropriations Act, excluding additional amounts provided under section 635.

Within the aggregate request, $381 million is requested for the Operating Expenses appropriation, $4.8 million is requested for the NARA Office of Inspector General, $7.5 million is requested for Repairs and Restoration of NARA-owned buildings, and $5 million is requested for the National Historical Publications and Records Commission (NHPRC) Grants Program.

Appropriations Request
(Dollars in Thousands)

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	*change from FY 2016*
Operating Expenses	$ 365,000	$ 372,393	$ 380,634	*+8,241*
Office of Inspector General	4,130	4,180	4,801	*+621*
Repairs and Restoration	7,600	7,500	7,500	*+0*
NHPRC Grants Program	5,000	5,000	5,000	*+0*
NARA Appropriations Request	**$ 381,730**	**$ 389,073**	**$ 397,935**	*+8,862*
Title VI, "NARA (Sec. 635)"	*0*	*7,000*	*0*	*-7,000*
Total Appropriations	*$ 381,730*	*$ 396,073*	*$ 397,935*	*+1,862*

NARA requests an increase of $8,241 thousand and 27 FTE to the Operating Expenses appropriation, which is the net of the following changes from the FY 2016 enacted level:

(1)   An increase of $2.7 million to provide for the FY 2017 pay raise (1.6%) and the annualization of the FY 2016 pay raise (1.3%).

(2)   Reductions totaling -$5.1 million in program efficiency savings.

(3)   An increase of $4.9 million and 15 FTE to prepare for the FY 2017 Presidential Transition. Funds requested would provide for the transportation of electronic Presidential records to NARA's data center in Keyser, WV, transportation of analog records and artifacts to a temporary storage facility in Chicago, IL, and new employee to staff the temporary facility.

(4)   An increase of $3.5 million to complete development of the next-generation Electronic Records Archives (ERA 2.0), and to provide for the migration and retirement of legacy records systems that will be subsumed by ERA 2.0.

(5)   An increase of $1.5 million and 7 FTE to address critical Information Technology security concerns, including costs to fully implement logical access controls and integrate physical and logical access control systems.

(6)   An increase of $850 thousand to provide for additional rental payments to the Government Publishing Office for new archival storage space acquired under sec. 635 of Division E of the FY 2016 Consolidated Appropriations Act (P.L. 114-113).

NARA requests an increase of $621 thousand to the Office of Inspector General appropriation, for the following changes from the FY 2016 enacted level:

(7)   An increase of $61 thousand to provide for the FY 2017 pay raise (1.6%) and the annualization of the FY 2016 pay raise (1.3%).

(8)   An increase of $560 thousand to provide for four full-time program auditors.

Summary of Discretionary Budget Authority
(Dollars in Thousands)

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	*change from FY 2016*
Operating Expenses	$ 365,000	$ 372,393	$ 380,634	*+8,241*
Redemption of debt	-19,514	-21,208	-23,049	*-1,841*
Net budget authority..............	$ 345,486	$ 351,185	$ 357,585	*+6,400*
Office of Inspector General	4,130	4,180	4,801	*+621*
Repairs and Restoration	7,600	7,500	7,500	*+0*
NHPRC Grants Program	5,000	5,000	5,000	*+0*
Subtotal, net budget authority	**$ 362,216**	**$ 367,865**	**$ 374,886**	*+7,021*
TITLE VI, "NARA (Sec. 635)"	*0*	*7,000*	*0*	*-7,000*
Total net budget authority	*$ 362,216*	*$ 374,865*	*$ 374,886*	*+21*

NARA's budget requests $375 million in net budget authority for FY 2017. NARA net budget authority is calculated as the appropriation request, minus amounts used for repayments of principal on debt held by the public that was used to finance the construction of the National Archives facility at College Park, MD. Repayments of principal are provided from the Operating Expenses appropriation. For FY 2017, this amount totals $23 million. NARA will complete repayment on this debt in FY 2019.

NARA Mission, Vision, and Goals

The vision, mission, and strategic goals established in the FY 2014 – FY 2018 NARA Strategic Plan confirm NARA's commitment to openness, transparency, and citizen engagement through public access to government records. NARA's new strategic framework adds context and a higher purpose to NARA operations, drives increased coordination between NARA programs, and sets priorities for improved resource allocations.

VISION

***We will be known for cutting-edge access
to extraordinary volumes of government information and
unprecedented engagement to bring greater meaning to the American experience.***

NARA will collaborate with other Federal agencies, the private sector, and the public to offer information – including records, data, and context – when, where and how it is needed and transform the American public's relationship with their government.

MISSION

***We drive openness, cultivate public participation, and strengthen
our nation's democracy through public access to high-value government records.***

NARA's mission is to provide public access to Federal Government records in its custody and control. Public access to government records strengthens democracy by allowing Americans to claim their rights of citizenship, hold their government accountable, and understand their history so they can participate more effectively in their government.

VALUES

NARA values reflect shared aspirations that support and encourage the agency's long-standing commitment to public service, openness and transparency, and the government records that NARA holds in trust.

Collaborate—*Create an open, inclusive work environment that is built on
respect, communication, integrity, and collaborative team work.*

Innovate—*Encourage creativity and invest in innovation to build our future.*

Learn—*Pursue excellence through continuous learning and
become smarter all the time about what we know and what we do in service to others.*

STRATEGIC GOALS

NARA's strategic goals identify the four key areas in which NARA must excel in order to efficiently and effectively deliver its mission in a modern environment.

Make Access Happen.—NARA will make all records available to the public in digital formats, to ensure that anyone can explore, discover, and learn from NARA holdings.

Connect with Customers.—NARA will improve internal and external customer engagement to cultivate and sustain public participation.

Maximize NARA's Value to the Nation.—NARA will reform and modernize records management policies and practices within the Federal government to effectively support the transition to digital government. NARA will drive public and commercial re-use of historical government data and records to create measurable economic activity.

Build Our Future Through Our People.—NARA will create and sustain a culture of empowerment, openness, and inclusion; and ensure that NARA has a diverse workforce with the skills necessary to fulfill the agency's mission

TRANSFORMATIONAL OUTCOMES

NARA transformational outcomes describe the organizational culture that NARA must build in order to meet the challenges of the future, improve organizational performance, and better serve the American people.

One NARA.—We will work as one NARA, not just as component parts.

Out in Front.—We will embrace the primacy of electronic information in all facets of our work and position NARA to lead accordingly.

An Agency of Leaders.—We will foster a culture of leadership, not just as a position but as the way we all conduct our work.
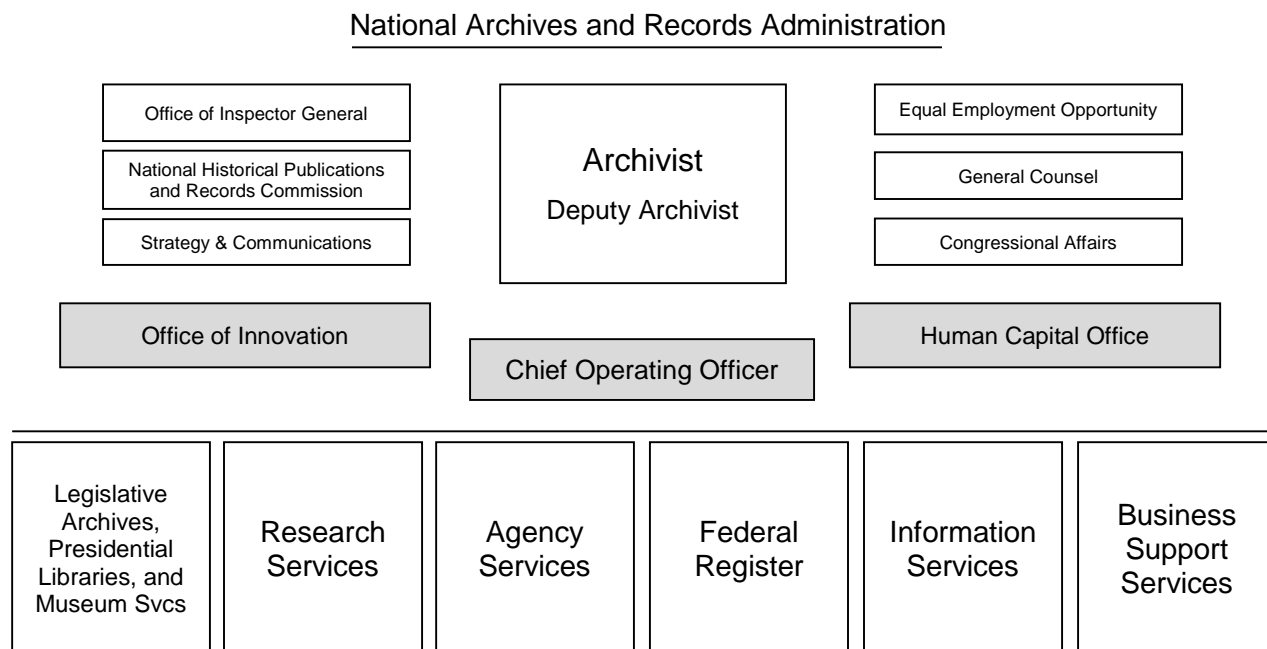
A Great Place to Work.—We will transform NARA into a great place to work through trust and empowerment of all of our people, the agency's most vital resource.

A Customer-Focused Organization.—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.

An Open NARA.—We will open our organizational boundaries to learn from others.

NARA Organization

NARA's organizational structure focuses agency resources and management attention on delivering coordinated and effective services to key stakeholders and customers. NARA's customer-focused organizations allow the agency to better engage its stakeholders, encourage their collaboration and participation, and respond to their needs expediently and efficiently. This structure eliminates duplication of processes and resources, creates a more flexible and agile organization, and promotes shared accountability for the performance of the agency as a whole.

National Archives and Records Administration

Office of Inspector General		Equal Employment Opportunity
National Historical Publications and Records Commission	**Archivist** Deputy Archivist	General Counsel
Strategy & Communications		Congressional Affairs

Office of Innovation		Human Capital Office
	Chief Operating Officer	

Legislative Archives, Presidential Libraries, and Museum Svcs	Research Services	Agency Services	Federal Register	Information Services	Business Support Services

- *Legislative Archives, Presidential Libraries, and Museum Services* fulfills the records needs of the White House and Congress, researchers who make use of Presidential and Congressional records, and museum visitors, educators, and students.

- *Research Services* provides world-class service to researchers and citizens wanting to access the records of the National Archives and preserves archival holdings for the benefit of future generations.

- *Agency Services* leads NARA efforts to meet the records management needs of Federal agencies and represents the public's interest in the transparency of these records.

- *The Office of the Federal Register* fulfills the Archivist's responsibilities to publish the daily Federal Register, the Code of Federal Regulations, and the Statutes-at-Large, and other statutory requirements.

- *Information Services* and *Business Support Services* improve NARA's efficiency and effectiveness by providing tools, services, facilities, and expertise that support agency operations.

Summary of Requested Appropriations Action
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Operating Expenses:			
Legislative, Presidential, and Museum Services	$ 111,560	$ 109,376	$ 109,989
Citizen Services	103,222	99,030	102,154
Agency and Related Services	74,289	84,956	90,175
Facility Operations	76,027	79,031	78,316
Total Appropriation	$ 365,098	$ 372,393	$ 380,634
Redemption of debt	*-19,514*	*-21,208*	*-23,049*
Net budget authority	*$ 345,584*	*$ 351,185*	*$ 357,585*
Office of Inspector General	3,387	4,180	4,801
Repairs and Restoration	9,667	7,500	7,500
NHPRC Grants Program	5,279	5,000	5,000
Total Appropriations Request	**$ 383,431**	**$ 389,073**	**$ 397,935**
Title VI, "NARA (Sec. 635)"	0	7,000	0
Total Appropriations	$ 383,431	$ 396,073	$ 397,935
Total, Discretionary net budget authority	*$ 363,917*	*$ 374,865*	*$ 374,886*
Full-Time Equivalents (FTE)	2,833.0	2,918.0	2,949.0

Total Discretionary Obligations by Object Classification
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
11.1 Full-time, permanent...	$ 125,160	$ 134,319	$ 138,801
11.3 Other than full-time permanent.............................	244	1,018	1,034
11.5 Other personnel compensation............................	1,841	1,659	1,684
11.8 Special personal services payments....................	73	59	60
12.1 Civilian personnel benefits.....................................	39,406	41,042	42,705
13.0 Benefits for former personnel..............................	80	160	160
21.0 Travel and transportation of persons....................	923	1,033	1,138
22.0 Transportation of things...	305	436	1,736
23.1 Rental payments to GSA......................................	6,478	6,551	6,959
23.2 Rental payments to others....................................	1,067	1,033	1,883
23.3 Communications, utilities, and misc. charges.....	12,962	13,479	11,898
24.0 Printing and reproduction......................................	609	609	609
25.1 Advisory and assistance services........................	11,298	17,779	17,424
25.2 Other services from non-Federal sources...........	26,621	26,325	28,432
25.3 Other goods and services from Federal sources	17,874	24,341	25,749
25.4 Operation and maintenance of facilities...............	28,187	32,463	29,722
25.5 Research and development contracts.................	170	185	185
25.7 Operation and maintenance of equipment...........	29,642	36,404	34,023
26.0 Supplies and materials...	2,915	3,248	2,864
31.0 Equipment..	29,249	13,058	9,997
32.0 Land and structures..	13,997	11,796	9,500
41.0 Grants, subsidies, and contributions....................	5,284	5,337	5,000
42.0 Insurance claims and indemnities........................	74	0	0
43.0 Interest and dividends...	9,458	7,764	5,923
94.0 Financial transfers...	19,514	21,208	23,049
99.0 Obligations, appropriated................................	**$ 383,431**	**$ 401,306**	**$ 400,535**
Subtotal, PC&B...	*166,804*	*178,257*	*184,444*
Subtotal, non-labor.....................................	*216,627*	*223,049*	*216,091*

Note: This schedule includes obligations of available balances from prior-year appropriations.

National Archives and Records Administration

OPERATING EXPENSES

Fiscal Year 2017 Budget Request

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Appropriation Language

For necessary expenses in connection with the administration of the National Archives and Records Administration and archived Federal records and related activities, as provided by law, and for expenses necessary for the review and declassification of documents, the activities of the Public Interest Declassification Board, the operations and maintenance of the electronic records archives, the hire of passenger motor vehicles, and for uniforms or allowances therefore, as authorized by law (5 U.S.C. 5901), including maintenance, repairs, and cleaning, **$380,634,000.**

Program Description

This appropriation provides for the operation of the Federal government's archives and records management activities, the preservation of permanently valuable historical records, and their access and use by the public.

- *Legislative Archives, Presidential Libraries, and Museum Services.*—This activity provides for the Center for Legislative Archives and the Office of Presidential Materials, which provide records management services to Congress and the White House; the Presidential Libraries of thirteen former Presidents; and nationwide education, outreach, and exhibits programs, including the National Archives Museum in Washington, DC.

- *Citizen Services.*—This activity provides for public access to and engagement with permanently valuable Federal government records by the researcher community and the general public at public research rooms, on-line at www.archives.gov, and through innovative tools and technology to support collaboration with the public. This activity includes $1 million for a NARA Digital Service Team to transform NARA digital services with the greatest impact to citizens and businesses so they are easier to use and more cost-effective to build and maintain.

- *Agency and Related Services.*—This activity provides for the services NARA provides to other Federal agencies, including records management, appropriate declassification of classified national security information, oversight of the classification system and controlled, unclassified information, and improvements to the administration of the Freedom of Information Act by the Office of Government Information Services; the electronic records management activities of the Electronic Records Archives system; and publication of the Federal Register, U.S. Statutes-at-Large, and Presidential Papers.

- *Facility Operations.*—This activity provides for the operations and maintenance of NARA facilities, including interest payments and repayments of principal on debt associated with construction of the National Archives building at College Park, MD. Appropriations for repayments of principal ("redemption of debt") are excluded from NARA budget authority.

Explanation of Changes
(Dollars in Thousands)

	FTE	Budget Authority
FY 2016 Enacted level, annual appropriation.............................	1,560.0	$ 372,393
FY 2017 Appropriation request...	1,587.0	380,634
Net Change...	27.0	$ 8,241

	FTE	Budget Authority
Maintaining Current Levels:		
FY 2017 pay raise and annualization of FY 2016 pay raise		$ 2,684
Program Decreases:		
Program efficiency savings (including non-recurs)		-$ 4,938
Real property consolidation savings		-205
Subtotal, Program Decreases..	0.0	-$ 5,143
Program Increases:		
FY 2017 Presidential Transition	15.0	$ 4,850
Continued development of the Electronic Records Archive	5.0	3,500
Address critical Information Technology security concerns	7.0	1,500
Rent for new GPO space		850
Subtotal, Program Increases..	27.0	$ 10,700
Net Change...	**27.0**	**$ 8,241**

The FY 2017 budget requests an appropriation of **$380,634 thousand and 1,587 FTE** for NARA Operating Expenses. This reflects a net increase of $8,241 thousand and 27 FTE over amounts provided under the heading "Operating Expenses" in the FY 2016 Consolidated Appropriations Act, and excluding additional amounts provided under section 635. NARA's request is the result of the following changes:

(1)   An increase of **$2,684 thousand**, to provide for the FY 2017 pay raise (1.6 percent) and the annualization of the FY 2016 pay raise (1.3 percent).

(2)   Program reductions totaling **-$5,143 thousand**, including:

- -$4,938 thousand in program efficiency savings, primarily reductions in operations and maintenance costs of NARA-owned facilities and a number of smaller reductions to activities not directly focused on program delivery.

- -$205 thousand in real property consolidation savings. Savings come from consolidating multiple leases into a single facility in Fort Worth, TX.

(3)   Program increases of **$10,700 thousand and 27 FTE**, including:

- $4,850 thousand and 15 FTE to provide for the smooth transfer of Executive power in the FY 2017 Presidential Transition and allow the Archivist of the United States to effectively perform the responsibilities assigned to him by the Presidential Records Act (44 USC §§ 2201–2207). The funds requested would provide for the transportation of electronic Presidential records to NARA's data center in Keyser, WV, the transportation of Presidential records and artifacts to a temporary storage facility in Chicago, IL, and for new employees to staff the temporary facility.

- $3,500 thousand and 5 FTE to invest in the Electronic Records Archive, NARA's primary information system for storage, preservation, and public access to permanently-valuable electronic records. Funds requested would be used to simplify the process agencies use to transfer accessioned electronic records to NARA, develop new tools to process electronic records electronically, and subsume legacy systems, which will reduce operating costs and address multiple findings of NARA's Inspector General.

- $1,500 thousand and 7 FTE for hardware, software, and staffing necessary to address critical Information Technology security concerns, including costs to fully implement logical access controls and two-factor authentication requirements for access to NARA IT systems.

- $850 thousand to provide for rental payments to the Government Publishing Office (GPO) for new storage space, to be improved and acquired in FY 2016, for the records of the House of Respresentatives and the U.S. Senate.

Presidential Transition

NARA's request includes $4,850 thousand and 15 FTE to provide for activities necessary to provide for the FY 2017 Presidential Transition and allow the Archivist of the United States to effectively perform the responsibilities assigned to him by the Presidential Records Act (44 USC §§ 2201–2207). Immediately upon the conclusion of the President's term of office, the Archivist of the United States will assume custody and control of the Presidential records and artifacts created during the Administration. The Archivist will be responsible for the storage of such Presidential records in a Presidential archival depository, as well as the preservation of and access to those records and artifacts.

Funds requested in FY 2017 would provide for:

- *Transportation of paper and electronic Presidential records and artifacts to storage locations in Keyser, WV and Chicago, IL, $2,950 thousand.* On January 20, 2017, NARA will assume legal custody of over 200 Terabytes of electronic Presidential records, an estimated 60 million pages of Presidential records in analog formats, and approximately 50,000 Presidential artifacts. NARA's request includes funding to transport analog (hard copy, in paper and multiple audio-video formats) Presidential records and artifacts from Washington, DC to our temporary storage facility in Chicago, IL. The request also includes funding necessary to transport electronic Presidential records to NARA's data center in Keyser, WV. NARA must acquire and then transfer electronic records onto physical transportation devices, transport those devices by truck to NARA's data center, and transfer the records to permanent storage equipment hosued in the data center.

- *New staff to receive and process Presidential records and artifacts, respond to special access and Freedom of Information Act (FOIA) requests, and begin screening Presidential records for eventual public access, $1,900 thousand.* Presidential records will be subject to special access requests by the outgoing and incoming Administration, Congress, and the Courts immediately upon their transfer to NARA's legal custody on January 20, 2017. Presidential records will become subject to disclosure through FOIA five years after the Transition; however, Presidential records must be reviewed line-by-line for national security, personally-identifiable, and other restricted information prior to public release. NARA must have staff available immediately after Transition to receive access requests, find and screen responsive records, and provide timely responses to records requests from Congress, the Judiciary, and – eventually – the public.

  NARA's request includes funding for the salaries and related expenses of 15 new hires, as well as the annualization of new FTE provided in the FY 2016 enacted level. NARA's request would provide for 12 archival staff and three management and administrative staff to catalog and describe, screen and process, and provide appropriate access to Presidential records and artifacts in the custody of the National Archives.

Continued development of the Electronic Records Archive

NARA's request includes $3,500 thousand and 5 FTE to complete systems development work for the next-generation Electronic Records Archives (ERA 2.0) and provide for the migration and retirement of legacy information systems that will be made redundant by the new system. ERA 2.0 would replace ERA 1.0, which was first deployed in 2008, with an enhanced, scalable tool for the scheduling, transfer, and long-term storage of permanently-valuable electronic Federal records.

Improvements to the ERA platform are necessary to support the transition to fully-electronic management of permanent electronic records, which all Executive Branch agencies are required to implement by December 31, 2019 (in OMB Memorandum M-12-18, *Managing Government Records Directive*). ERA 2.0 will move electronic records storage from proprietary servers to scalable, cloud-based storage servces: Cloud storage will provide NARA with a flexible, efficient mechanism to store the large volumes of electronic records expected to be transferred once agencies begin managing electronic records electronically. ERA 2.0 will also improve the workflows and online tools that Federal agencies use to create records schedules and electronically transfer electronic records to NARA. ERA 1.0 currently provides these functions, but in a way that is cumbersome and time-consuming, and many agencies continue to transfer records to NARA on physical storage media.

ERA 2.0 will add digital processing tools that will increase the functionality of the system and will allow NARA to retire legacy records systems that currently provide that functionality. ERA 2.0 will include modular tools to verify, catalog, describe, and – where necessary – redact records within the storage environment, instead of passing files through various applications and local storage environments. This new functionality will dramatically improve both the efficiency of processing and NARA's intellectual control over records in-process, and will eventually allow for batch processing of large-volume records transfers. Once records processing tools are established in ERA 2.0, NARA will retire separate, legacy systems that currently provide those functions, which will reduce operating costs and address multiple findings of NARA's Inspector General.

Address critical Information Technology security concerns

NARA's request includes $1,500 million and 7 FTE to strengthen NARA cyber-security efforts, including completing implementation of Homeland Security Presidential Directive-12 (HSPD-12) requirements to use Personal Identity Verification (PIV) credentials for access to NARA facilities and information systems. This initiative would provide for the further development of NARA's Identity Management system, so that the agency can integrate separate systems for controlling logical and physical access and increase interoperability with other agencies.

NARA requests additional FTE to manage the new logical access control system, enhance continuous monitoring of IT systems and networks, and implement NIST Special Publication 800-37, Guide for Applying the Risk Management Framework to Federal Information Systems. NIST SP 800-37 transforms the traditional certification and accreditation process into a continuous process for managing risk, and NARA requires additional, specialized staff in order to provide meaningful identification and management of risks to agency data and systems.

Rent for new GPO space

NARA's request includes $850 thousand for rental payments to the Government Publishing Office (GPO) for archival storage space to be acquired in FY 2016. Section 635 of Division E of the FY 2016 Consolidated Appropriations Act (P.L. 114-113) provided NARA with funding for the improvement of "an additional leased facility" to store the records of the House of Representatives and the Senate. NARA will use the funds provided to modify approximately 24,000 square feet of vacant space in the GPO headquarters building in Washington, DC, to provide for new storage space for Congressional records. NARA expects to pay approximately $850 thousand in annual rent to GPO once the space is occupied in FY 2017.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Transfer in from trust fund accounts………………	$ 573	$ 573	$ 600
Discretionary authority:			
Annual appropriation...	$ 365,000	$ 372,393	$ 380,634
No-year appropriation (Sec. 635)........................	0	7,000	0
Total discretionary authority........................	**$ 365,000**	**$ 379,393**	**$ 380,634**
Reimbursable authority:			
New spending authority collected........................	$ 1,737	$ 1,928	$ 1,932
Change in uncollected payments........................	43	0	0
Subtotal, reimbursable authority.....................	$ 1,780	$ 1,928	$ 1,932
Unobligated balance, expiring.................................	-$ 475	$ 0	$ 0
Unobligated balance, reimbursable..........................	$ 0	$ 0	$ 0
Total obligations..	$ 366,878	$ 381,894	$ 383,166
Obligations, appropriated..................................	**$ 365,098**	**$ 379,966**	**$ 381,234**
Obligations, reimbursable.....................................	$ 1,780	$ 1,928	$ 1,932
Net outlays	*$ 340,427*	*$ 340,568*	*$ 357,800*

Reimbursable Programs: In FY 2017, NARA anticipates providing reimbursable services to the National Archives Trust Fund (as authorized by 44 U.S.C. § 2302) in the amount of $1,932 thousand and 29 FTE. Reimbursable services provide for the costs of reproducing archival documents for sale to the public and other, related projects.

NARA anticipates an additional $600 thousand in transfers from the National Archives Trust Fund endowments for the operations and maintenance of certain Presidential Libraries. In accordance with 44 USC § 2112(g), the private Foundations for the Libraries of former Presidents George H.W. Bush, William Clinton, and George W. Bush have established (separate) endowments in the National Archives Trust Fund. Annual income from these endowments is transferred to NARA's Operating Expenses appropriation on an annual basis, to partially offset the costs of facility operations and maintenance at each respective Library.

NARA Budget Activities

NARA's mission is to provide meaningful public access to permanent records, records that document the rights of citizens, and records that ensure government accountability. The Operating Expenses appropriation provides for salaries and expenses associated with preservation, processing, and public access to permanent records and related functions.

NARA's request for Operating Expenses is presented in four budget activities, which reflect the agency organizational structure. The budget activities consolidate related functions to report the total resources NARA dedicates to each of its key customer segments and stakeholder groups.

- *Legislative Archives, Presidential Libraries, and Museum Services* focuses on the records needs of the White House and Congress, researchers who make use of Presidential and Congressional records, and museum visitors, educators, and students nationwide.

- *Citizen Services.* — This activity includes:

  - The Research Services organization, which provides public access to original, archived government records for researchers and citizens and preserves archival holdings for the benefit of future generations.

  - The Office of Innovation, which provides public access to and engagement with government records through the internet at www.archives.gov, social media, and innovative tools that support collaboration with the public.

- *Agency and Related Services.*—This activity includes:

  - The Agency Services organization, which supports the records management needs of all Federal agencies and represents the public's interest in the transparency of those records;

  - Electronic records management, preservation, and access activities provided through the Electronic Records Archives (ERA) system, which is managed by the Information Services organization; and

  - The Office of the Federal Register, which fulfills a variety of statutory responsibilities, including publication of the daily Federal Register, the Code of Federal Regulations, and the U.S. Statutes-at-Large.

- *Facility Operations.*—This activity provides for the operations and maintenance of NARA facilities, which are managed by the Business Support Services organization, including interest payments and repayments of principal on debt associated with construction of the National Archives building in College Park, MD.

The Information Services and Business Support Services organizations provide tools, services, and expertise to support other NARA organizations' delivery of services to external stakeholders. Costs of these organizations – other than the costs of ERA – and the costs of agency-wide management and administration are allocated across NARA budget activities.

Obligations by Program Activity
(Dollars in Thousands)

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
	FTE	Dollars	FTE	Dollars	FTE	Dollars
1. Legislative, Presidential, and Museum Services:						
Presidential Libraries	371.0	$93,697	379.0	$92,597	397.0	$92,669
Legislative Archives, Presidential Materials, and Public Programs	94.0	17,863	94.0	16,779	95.0	17,320
Subtotal, LPM Services......................................	465.0	$111,560	473.0	$109,376	492.0	$109,989
2. Citizen Services:						
Research Services	617.0	$88,806	648.0	$85,542	652.0	$87,311
Office of Innovation	70.0	14,416	75.0	13,488	76.0	14,843
Subtotal, Citizen Services.................................	687.0	$103,222	723.0	$99,030	728.0	$102,154
3. Agency and Related Services:						
Agency Services	249.0	$47,161	267.0	$48,309	269.0	$47,016
Electronic Records Archives	30.0	11,359	30.0	25,296	30.0	30,153
Federal Register	69.0	15,769	67.0	11,351	68.0	13,006
Subtotal, Agency and Related..........................	348.0	$74,289	364.0	$84,956	367.0	$90,175
4. Facility Operations:						
NARA Facility Operations	0.0	$76,027	0.0	$79,031	0.0	$78,316
GPO space improvements (Sec. 635)	0.0	0	0.0	7,000	0.0	0
Subtotal, Facility Operations.............................	0.0	$76,027	0.0	$86,031	0.0	$78,316
Total, Appropriations Request...........................	**1,500.0**	**$365,098**	**1,560.0**	**$379,393**	**1,587.0**	**$380,634**

Legislative Archives, Presidential Libraries, and Museum Services
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
LPM Services	$ 111,560	$ 109,376	$ 109,989

NARA's FY 2017 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- $71,410 thousand for the Presidential Libraries system, including $30,720 thousand for the operations and maintenance of facilities;

- $7,239 thousand for nationwide education, outreach, and exhibits programs;

- $2,633 thousand for the Center for Legislative Archives, which provides records management services for Congress; and

- $1,097 thousand for the Office of Presidential Materials, which provides records management guidance and courtesy storage for the incumbent administration and oversees special access and declassification at the Presidential Libraries.

An additional $27,610 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

LPM Services Strategic Direction

The *Legislative Archives, Presidential Libraries, and Museum (LPM) Services* organization maintains the exclusive repository for the official records of Congress and the Presidency; preserves an ever-growing and complex array of electronic records, media, and textual records; and provides trusted, timely reference to members of Congress, current and former Presidents, the Judiciary, academia, and the public. LPM Services preserves and provides access to historical materials for the White House and Congress, and researchers who make use of Presidential and Congressional records. LPM Services uses the larger holdings of the National Archives to promote understanding of the American experience for museum visitors, educators, and students across the nation.

Management challenges and opportunities for FY 2017 and future years:

- The January 20, 2017 Presidential Transition poses a significant challenge for NARA and its lead organization for transition, the Presidential Materials Division. NARA anticipates that the records of the current Administration will be the largest collection to date, and the volume and complexity of electronic records will far exceed that of previous Administrations. NARA typically begins receiving special access requests as soon as the Administration leaves office, so NARA must begin receiving and processing Presidential materials well before the end of an Administration. NARA will begin the transfer of Presidential records and artifacts in FY 2016 and transfers will continue up to Inauguration Day 2017. NARA will also need to acquire new space for temporary storage of Presidential materials and hire a new staff to meet the archival and access needs of the future Presidential Library.

- NARA has a significant backlog of unanswered Freedom of Information Act (FOIA) requests at Presidential Libraries covered by the Presidential Records Act (PRA). The PRA made Presidential records subject to disclosure through FOIA five years after the end of an administration, beginning with former President Reagan. Making Presidential records subject to FOIA has reduced the speed at which NARA can make Presidential records available to the public. NARA must review all Presidential papers page-by-page, which means it will take decades to make all of the records available to the public. Processing records in response to FOIA requests is even more time-consuming than processing the same number of pages in a systematic, archival fashion and does not produce discrete records collections that would be meaningful to the general public if released. NARA has received additional resources and made process improvements to speed the review of Presidential records to the extent possible.

- The Center for Legislative Archives has experienced a tremendous increase in the volume of textual and electronic records created by the U.S. House of Representatives, the U.S. Senate, and legislative commissions. Historical legislative records are stored at the National Archives building in Washington, DC, so that records are readily available to Congress when needed and so that NARA can make those records available to researchers in a controlled environment. NARA received funding in FY 2016 to acquire additional storage space in Washington, DC which will address Congressional record storage requirements through FY 2030.

LPM Services Strategies and Actions

LPM Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2017:

1. By FY 2017, LPM Services will be able to accept all Presidential and Vice Presidential records that are available for transfer regardless of media or format and immediately begin archival processing for eventual public release.

LPM Services FY 2017 Budget Request

The FY 2017 budget request provides $109,989 thousand for LPM Services, a net increase of $613 thousand from the FY 2016 enacted level, including:

- *+$677 thousand for the FY 2017 pay raise and annualization of FY 2016 pay raise;*
- *+$2,129 thousand for costs related to the Presidential Transition;*
- *-$3,437 thousand from efficiency savings, primarily reductions in the oeprations and maintenance of Presidential Library facilities; and*
- *+$1,244 thousand from increases in allocated costs of management and administration, including information technology.*

Citizen Services
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Research Services	$ 88,806	$ 85,542	$ 87,311
Office of Innovation	14,416	13,488	14,843
Total	$ 103,222	$99,030	$ 102,154

NARA's FY 2017 request for *Citizen Services* includes:

- $55,739 thousand for the Research Services organization, for the archival storage and preservation of permanently valuable Federal government records and for continued access to those records by the researcher community and the general public;

- $9,717 thousand for the Office of Innovation, which leads NARA Open Government and Digital Government Strategy efforts, maintains NARA's web and social media presence, and provides innovative tools to enhance collaboration and engagement with the public.

An additional $36,698 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

Research Services Strategic Direction

The *Research Services* organization provides access to archival records for researchers and the public. Research Services acquires, preserves, manages and provides public access to historical Federal records at fifteen locations across the country and on the archives.gov website. Research Services processes and describes historical records, so that the public can research and discover the information housed in NARA's vast holdings. Research Services responds to public requests for records in-person at public research rooms, remotely by phone, fax, mail, and email, and through Freedom of Information Act (FOIA) and special access requests. Research Services is responsible for appropriately managing and safeguarding NARA's archival records, including actions necessary to preserve records stored on fragile and obsolete media.

Management challenges and opportunities for FY 2017 and future years:

- NARA currently holds more than 4.7 million cubic feet of archival records, but it anticipates that an additional 3 million cubic feet of permanently valuable, historical records will be transferred to Research Services by FY 2030. NARA must have sufficient storage space that meets archival standards and sufficient staff to provide for the preservation, processing, description, and review for restrictions necessary to make these records available to the public now and in the future.

- Researchers and the public expect access to more contemporary records, yet modern government records are increasingly subject to varied and complex restrictions on access. Contemporary records often contain personally identifiable information (PII), national security, and other restrictions that require detailed review and screening before being released to the public. These records are often inadequately described for easy access. Furthermore, many finding aids for personal data series records also contain PII, making access and use of outside sources to describe and digitize these holdings especially challenging.

- Researchers and the public expect government information to be readily available and online, including information contained in archival records. NARA has developed relationships with private partners to assist in preparing, indexing, and digitizing historical records and making them available on-line. NARA has access to an active cadre of researchers and volunteers that assist in priority work and help improve reference services. NARA is exploring the use of social media, including wikis, blogs, and tagging, to allow citizens to add descriptions to NARA holdings: This helps to improve citizen engagement while increasing the volume of Federal government records that are searchable and can be accessed on-line.

Research Services Strategies and Actions

Research Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2017:

1. By FY 2017, Research Services will deploy a nationwide researcher registration system, to allow researchers to access records with a common researcher card that is usable at all NARA research facilities.

2. By FY 2019, Research Services will implement an enterprise system for ticketing inquiries and requests from the public; and link all customer transactions within a consolidated customer relationship management system.

Research Services FY 2017 Budget Request

The FY 2017 budget request provides $87,311 thousand for Research Services, a net increase of $1,769 thousand from the FY 2016 enacted level, including:

- *+$759 thousand for the FY 2017 pay raise and annualization of the FY 2016 pay raise;*
- *-$537 thousand in efficiency savings; and*
- *+$1,549 thousand from increases in allocated costs of management and administration, including information technology.*

Office of Innovation Strategic Direction

The *Office of Innovation* leads NARA's Open Government and Digital Government Strategy efforts, and is responsible for digitizing records in traditional formats through in-house digitization labs and partnerships with private organizations that digitize NARA records at no cost to the Government. The Innovation Office provides on-line public access and encourages public engagement in historical government records by leading crowdsourcing initiatives, developing innovative public programs, and building relationships with external organizations, including Wikipedia and the Digital Public Library of America (DPLA).

Management challenges and opportunities for FY 2017 and future years:

- NARA actively collaborates with Wikipedia and Wikimedia. Since 2010, the Office of Innovation has added more than 127,000 digital copies of NARA records to Wikimedia Commons, resulting in over 5,700 NARA images that have been used in 44,000 Wikipedia articles. NARA has contributed 1.9 million digital copies of NARA records for the launch of DPLA, a collaborative effort between archives, libraries, and museums to create an on-line library and capture America's living history. Collaborations with these and other organizations have allowed NARA to expand public access to historical government records far beyond what could be done with NARA's tools and resources alone.

- There is a large and growing public demand for on-line access to government information and records. In FY 2015, www.archives.gov and other NARA websites realized almost 62 million visits, including over two million visits to NARA's on-line catalog. "Today's Document", a Tumblr blog produced by the Office of Innovation, was named by Time Magazine as one of the Top 30 Tumblrs to follow in 2013. In FY 2014, Wikipedia pages containing NARA images received over 1 billion page views.

Office of Innovation Strategies and Actions

The Office of Innovation has adopted the following long-term performance goals to guide planning and resource allocations for FY 2017:

1. By FY 2017, 95 percent of NARA holdings will be described in the on-line National Archives Catalog, to provide researchers and the public with easy access to NARA records and information about those records.

2. By FY 2017, NARA will increase the number of archival electronic records that are available in machine-readable, open format with standard metadata, to increase public and commercial re-use of NARA records.

Office of Innovation FY 2017 Budget Request

The FY 2017 budget request provides $14,843 thousand for the Office of Innovation, a net increase of $1,355 thousand from the FY 2016 enacted level, including:

- *+$118 thousand for the FY 2017 pay raise and annualization of the FY 2016 pay raise;*
- *-$155 thousand in efficiency savings;*
- *+$1,000 thousand for web program costs that were previously allocated; and*
- *+$392 thousand from increases in allocated costs of management and administration, including information technology.*

Agency and Related Services
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Agency Services	$ 47,161	$ 48,309	$ 47,016
Electronic Records Archives	11,359	25,296	30,153
Federal Register	15,769	11,351	13,006
Total	$ 74,289	$ 84,956	$ 90,175

NARA's FY 2017 request for *Agency and Related Services* includes:

- $30,249 thousand for the Agency Services organization, including $3,550 thousand for the Information Security Oversight Office, $6,930 thousand for the National Declassification Center, and $1,114 thousand for the Office of Government Information Services;

- $30,153 thousand for the electronic records management activities of the Electronic Records Archive system; and

- $7,400 thousand for the Office of the Federal Register.

An additional $22,373 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

Agency Services Strategic Direction

The *Agency Services* organization leads NARA efforts to meet the records management needs of Federal agencies and represents the public's interest in the accountability and transparency of government records. Agency Services is the authoritative source for records management policy and guidance, records appraisal, and records management services to assist other agencies in appropriately managing their records. Agency Services provides leadership and guidance in safeguarding classified national security information and controlled unclassified information, and in the appropriate declassification and public release of this information. Agency Services helps to ensure that agencies preserve permanently-valuable Federal government records, records that document the rights of citizens, and records that ensure government accountability.

Management challenges and opportunities for FY 2017 and future years:

- The Presidential Memorandum on Managing Government Records and the Managing Government Records Directive (OMB Memorandum M-12-18) establish a series of goals and actions for NARA and other Federal agencies to modernize and reform Federal records management by the year 2020. NARA is charged with leading government-wide efforts to improve the effectiveness of Federal records management programs, manage Federal email records electronically by the end of calendar year 2016, and begin electronically managing all permanent electronic records by the end of calendar year 2019.

- NARA's National Declassification Center (NDC) has successfully retired the declassification backlog of previously reviewed records that existed in January 2010. Recently, the NDC completed quality assurance review for all classified series that were accessioned between January 2010, and December 31, 2013 and previously subject to automatic declassification. This review, which totaled nearly 31 million pages, addresses the records that were not part of the backlog work NDC staff completed in 2013. The NDC is now analyzing classified series that were accessioned in 2014, but the number of new, unprocessed records continues to grow. The declassification challenges facing NARA continue to grow as tens of millions of new pages require declassification processing annually, many of which require a more intensive declassification review and processing than the FY 2010 backlog.

- There is a growing need to find new, more cost-effective means to administer the Freedom of Information Act (FOIA). In FY 2010, Federal agencies reported spending $400 million to process nearly 600,000 FOIA requests, and received over 10,000 administrative appeals from denials of access. Agencies spent over $22 million on litigation-related activities. These statistics highlight the importance of the dispute resolution processes offered by the Office of Government Information Services (OGIS) as a cost effective tool for resolving FOIA disputes and an alternative to litigation.

Agency Services Strategies and Actions

Agency Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2017:

1. By FY 2018, Agency Services will make substantive changes to the General Records Schedules (GRS) to reduce the scheduling and appraisal burden on agencies.

Agency Services FY 2017 Budget Request

The FY 2017 budget request provides $47,016 thousand for Agency Services, a net decrease of -$1,293 thousand from the FY 2016 enacted level, including:

- *+$446 thousand for the FY 2017 pay raise and annualization of the FY 2016 pay raise;*
- *-$1,550 thousand in efficiency savings; and*
- *-$189 thousand from decreases in allocated costs of management and administration, including information technology.*

Information Services Strategic Direction

The *Electronic Records Archives (ERA)* system is a repository for electronic Presidential, Congressional, and Federal agency records that stores files in multiple formats for future access. ERA is NARA's primary system for storing and preserving electronic records. ERA is managed by the Information Services organization, in collaboration with Agency Services, Research Services, the Center for Legislative Archives, and the Presidential Libraries.

The *Information Services* organization is a strategic partner with NARA programs, supporting diverse activities through the application of information technology and sound information management practices. Information Services provides information products and services to meet customer requirements, functions as one highly skilled and adaptable team, and strives for continuous improvement. Information Services evaluates new technologies and promotes research opportunities that support preservation of and access to Federal government records to assist NARA in facing the challenges of modern records management and archival science.

Management challenges and opportunities for FY 2017 and future years:

- Maintaining effective IT security remains a challenge for all Federal agencies, including NARA. NARA has identified security vulnerabilities which present risk to NARA systems and has developed an aggressive plan to address control deficiencies that threaten IT Security. In particular, NARA will focus on establishing Continuous Diagnostics and Mitigation (CDM) activities, which will provide automated vulnerability monitoring to aid NARA in rapidly detecting and responding to information security events. NARA must also dedicate greater resources to control access and manage risk on a continuous basis. As NARA migrates more systems to cloud hosting environments, the agency may require additional controls in order to meet information security obligations.

- Federal government data sets are growing in size and complexity, and the transport of this data is an emerging threat to records management and archiving. Today, large data transfers require physical movement and transfer of storage devices. The future state for effective data management across the government is to manage data in place, instead of moving it. Cloud storage offers the opportunity to transfer custody and control of Federal government records and the associated metadata without physically moving them. NARA will work with cloud providers and agencies to identify lower-cost options to store inactive records for occasional access. If the records are later appraised as permanent, they could be seamlessly transferred into NARA's legal custody.

- The public expects government information and services to be available on-line and delivered through their channel of choice. For an increasing number of Americans, the channel of choice is their mobile device. NARA is already meeting this trend by increasing the volume of its holdings that are available on-line, including digitized analog collections, "born-digital" records, and web exhibits. NARA is evolving its information management strategy to quickly provide access to archival holdings on new technology platforms and in new formats, and make those holdings available in perpetuity.

Information Services Strategies and Actions

Information Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2017:

1. By FY 2019, Information Services will improve storage management and provide electronic processing tools so that NARA can manage all electronic records in an electronic environment.

Electronic Records Archives **FY 2017 Budget Request**

The FY 2017 budget request provides $30,153 thousand for the ERA system, a net increase of $4,857 thousand from the FY 2016 enacted level, including:

*   *+$70 thousand for the FY 2017 pay raise and annualization of the FY 2016 pay raise;*
*   *+$1,287 thousand raligned form other information systems, to reprioritize the information technology portfolio; and*
*   *+$3,500 thousand to continue development of the Electronic Records Archive.*

Funds requested for ERA in FY 2017 will be used to provide for maintenance of hardware and software, and provide for a small staff and contractor support for networking, maintenance, IT security, backup and recovery, and help desk functions for ERA.

Federal Register Strategic Direction

The *Office of the Federal Register* supports transparency and accountability in Government by providing the public with the opportunity to review and comment on proposed rules and regulations of all Federal agencies, as well as publishing final rules, notices of Federal agencies and organizations, Executive Orders and other Presidential documents, and the public laws of the United States. The Office of the Federal Register also performs ministerial duties associated with the functions of the Electoral College and ratification of Constitutional Amendments. The Office of the Federal Register is committed to leveraging innovative information technology to modernize the Federal Register system, which will make government more transparent, promote civic literacy and public engagement, and improve government efficiency and effectiveness.

Management challenges and opportunities for FY 2017 and future years:

- The Office of the Federal Register is a statutory partner with the Government Publishing Office (GPO), and relies heavily on their on-line content management system, the Federal Digital System (FDsys). FDsys offers new opportunities to develop "web-first" publications that are designed to be posted directly to the Internet and printed only when required by a customer.

- NARA relies on GPO to provide both work processes and IT infrastructure for production of the daily Federal Register, Code of Federal Regulations, and other print and on-line publications of the Office of the Federal Register. GPO provides all of the composition activities, rendering, publishing, printing, and electronic hosting for Federal Register publications, worth approximately $30 million per year. GPO is reimbursed by other agencies, which pay GPO for publication services through the GPO revolving fund.

Federal Register Strategies and Actions

In FY 2017, the Office of the Federal Register will work collaboratively with Information Services and Business Support Services to: provide a modern search engine and interface for all Federal Register electronic products; establish the electronic Code of Federal Regulations (CFR) as an official legal version of the CFR; design customized information products and services that meet customer needs and expectations; systematically improve production processes and workflows by developing a web-based production system to publish all statutory publications and provide easy access to critical government information for the public.

Federal Register FY 2017 Budget Request

The FY 2017 budget request provides $13,006 thousand for the Office of the Federal Register, a net increase of $1,655 thousand from the FY 2016 enacted level, including:

- *+$103 thousand for the FY 2017 pay raise and annualization of the FY 2016 pay raise;*
- *-$70 thousand in efficiency savings; and*
- *+$1,622 thousand from increases in allocated costs of management and administration, including information technology.*

Facility Operations
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Facility Operations	$ 76,027	$ 86,031	$ 78,316

NARA's FY 2017 request for *Facility Operations* includes:

- $49,344 thousand for rent, utilities, and other costs of operations and maintenance at three NARA-owned Federal buildings and 44 leased facilities; and

- $28,972 thousand for interest payments and repayments of principal on debt held by the public that was issued to finance the construction of the Archives II building in College Park, MD. $5,923 thousand is provided for interest payments and $23,049 thousand is provided for repayments of principal.

This budget activity does not include the costs of operating and maintaining Presidential Library facilities, which are reported in the Legislative Archives, Presidential Libraries, and Museum Services activity.

Business Support Services Strategic Direction

Facility Operations provides the physical infrastructure necessary to preserve NARA's holdings for future generations. Archived documents and artifacts must be maintained in a controlled environment with carefully-regulated temperature, humidity, and air quality. Facility Operations provides safe and sustainable facilities to store and protect permanently valuable NARA holdings and provide work space for NARA employees. NARA facilities are managed by the Business Support Services organization.

The *Business Support Services* organization supports the NARA mission by providing efficient and effective centralized administrative services, including project management, acquisitions, financial management, physical security, and facility and property management. Business Support Services works in collaboration with an Internal Customer Service Council to ensure that all NARA programs receive the assistance they need, regardless of geographic location.

Management challenges and opportunities for FY 2017 and future years:

- NARA's archival holdings grow every year, and require continual expansion of records storage space, even as the Federal government is seeking to reduce and consolidate real property assets. NARA has gained nearly 700,000 cubic feet of newly-accessioned archival records since FY 2010, an increase of 15 percent, but has not seen an equivalent increase in space available for the storage of these records. NARA expects to receive at least 3 million cubic feet of new archival records by the end of FY 2030.

- Recent high-profile records thefts highlight the importance of a robust holdings protection program. NARA has improved employee training in holdings protection, instituted exit screenings to mitigate the risk of loss from internal sources, and is collaborating with partner institutions to share best practices in holdings protection. NARA is developing a nationwide facility assessment program to refine holdings protection procedures and identify and mitigate the areas of highest risk.

Business Support Services Strategies and Actions

Business Support Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2017:

1. By FY 2020, Business Support Services will provide secure, resilient, and appropriate space for 100 percent of NARA's archival holdings.

2. By FY 2020, Business Support Services will lead NARA in reducing agency greenhouse gas emissions by 10 percent from FY 2008 levels and will reduce facility energy intensity by 35 percent against the FY 2003 baseline.

Facility Operations **FY 2017 Budget Request**

The FY 2017 budget request provides $78,316 thousand for Facility Operations, a net decrease of -$7,715 thousand from the FY 2016 enacted level, including:

- *-$7,000 thousand from non-recurring one-time FY 2016 funding for additional storage space for Congressional records;*
- *-$1,565 thousand in efficiency savings, primarily reductions in archival facilities operations and maintenance costs; and*
- *+$850 thousand for rental payments to GPO for new archival storage space.*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
11.1	Full-time, permanent....................................	$ 123,267	$ 131,536	$ 135,618
11.3	Other than full-time permanent...........................	244	1,018	1,034
11.5	Other personnel compensation..........................	1,698	1,505	1,528
11.8	Special personal services payments..................	73	59	60
12.1	Civilian personnel benefits....................................	38,668	40,054	41,498
13.0	Benefits for former personnel.............................	80	160	160
21.0	Travel and transportation of persons..................	896	1,006	1,111
22.0	Transportation of things.......................................	306	436	1,736
23.1	Rental payments to GSA......................................	6,478	6,551	6,959
23.2	Rental payments to others..................................	1,067	1,033	1,883
23.3	Communications, utilities, and misc. charges....	12,962	13,479	11,898
24.0	Printing and reproduction....................................	609	609	609
25.1	Advisory and assistance services.......................	10,046	17,600	17,245
25.2	Other services from non-Federal sources........	26,549	26,311	28,418
25.3	Other goods & services from Federal sources..	17,864	24,326	25,734
25.4	Operation and maintenance of facilities..............	26,686	32,463	29,722
25.5	Research and development contracts................	170	185	185
25.7	Operation and maintenance of equipment..........	29,628	36,394	34,013
26.0	Supplies and materials..	2,849	3,243	2,859
31.0	Equipment..	29,155	13,053	9,992
32.0	Land and structures..	6,754	0	0
41.0	Grants, subsidies, and contributions……………	3	0	0
42.0	Insurance claims and indemnities......................	74	0	0
43.0	Interest and dividends...	9,458	7,764	5,923
94.0	Financial transfers..	19,514	21,208	23,049
99.0	**Obligations, appropriated...............................**	**$ 365,098**	**$ 379,993**	**$ 381,234**
	Subtotal, PC&B...	*164,030*	*174,332*	*179,898*
	Subtotal, non-labor....................................	*201,068*	*205,661*	*201,336*
99.0	Obligations, reimbursable...................................	1,780	1,928	1,932
99.0	Total obligations..	$ 366,878	$ 381,921	$ 383,166
	Full-Time Equivalents (FTE) Direct....................	1,500.0	1,560.0	1,587.0
	Full-Time Equivalents (FTE) Reimbursable.......	26.0	29.0	29.0

National Archives and Records Administration

OFFICE OF INSPECTOR GENERAL

Fiscal Year 2017 Budget Request

CONTENTS

Appropriation Language

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Reform Act of 2008, Public Law 110–409, 122 Stat. 4302–16 (2008), and the Inspector General Act of 1978 (5 U.S.C. App.), and for the hire of passenger motor vehicles, **$4,801,000.**

Program Description

The Office of Inspector General (OIG) provides independent audits and investigations and serves as an independent, internal advocate to promote economy, efficiency, and effectiveness at NARA. The Inspector General Act of 1978, as amended, established the OIG's independent role and general responsibilities. The OIG evaluates NARA's performance, makes recommendations for improvements, and follows up to ensure economical, efficient, and effective operations and compliance with laws, policies, and regulations.

Explanation of Changes
(Dollars in Thousands)

	FTE	Budget Authority
FY 2016 Enacted level...	24.0	$ 4,180
FY 2017 Appropriation request...	<u>24.0</u>	<u>4,801</u>
Net Change..	0.0	$ 621

	FTE	Budget Authority
FY 2017 pay raise and annualization of FY 2016 pay raise		$ 61
Hire additional auditors	<u> </u>	<u>560</u>
Net Change..	**0.0**	**$ 621**

Summary of the Request

The FY 2017 budget requests $4,801 thousand and 24 FTE for the Office of Inspector General (OIG), an increase of $621 thousand from the FY 2016 enacted level. The request includes an increase of $61 thousand to provide for the FY 2017 pay raise (1.6 percent) and the annualization of the FY 2016 pay raise (1.3 percent).

NARA requests an increase of $560 thousand to provide for four full-time program auditors. This request provides additional funding to permit the OIG to hire up to their existing FTE authority and workload requirements.

The OIG requires additional funding in order to ensure appropriate audit coverage of NARA programs, particularly those related to NARA's government-wide responsibilities for electronic records management, including email. NARA continues to struggle with extensive, long-standing institutional challenges, which are compounded by growing concerns over electronic records management in agencies, the pending transfer of Presidential records and artifacts of the Obama Administration, and the looming wave of electronic records that will be transferred to NARA's holdings in the coming years. Additional OIG resources will   provide independent, thorough audit coverage, improve the efficiency and effectiveness of NARA programs, and identify and eliminate fraud, waste and abuse.

Funding for this appropriation provides for the salary and benefits of OIG staff and for necessary travel, training, contractual services, equipment, and supplies to support the OIG mission.

- The OIG request includes $45 thousand for training in FY 2017, to support the continuing professional development of OIG staff. The Government Accountability Office (GAO) states that all auditors should receive at least 80 hours of training every two years. Auditors require training in areas such as: contract and grant auditing; performance management; fraud auditing; and information technology (IT) security, project management, and network and applications management. Special agents are required to receive periodic refresher training in: trial process; Federal criminal and civil legal updates; interviewing techniques and policy; law of arrest, search, and seizure; firearms use; and physical conditioning and defensive tactics. Management, legal, and administrative staff also require periodic training to remain proficient and effective at their jobs.

- NARA'S OIG supports the interagency Council of Inspectors General on Integrity and Efficiency (CIGIE). NARA expects to contribute approximately $12,540 in FY 2017.

Strategic Direction

The OIG works to ensure NARA safeguards and preserves Federal government records while providing the American people with access to the essential documentation of their rights and the actions of their government. The OIG accomplishes this by combating fraud, waste, and abuse through high-quality, objective audits, investigations, and other products. The OIG evaluates NARA's performance, makes recommendations for improvement, and follows up to ensure economical, efficient, and effective operations and compliance with current laws, policies, and regulations.

OIG audits and investigations cover all aspects of NARA operations at 44 facilities nationwide. NARA holds millions of cubic feet of historic records, and an ever growing electronic repository of classified and highly sensitive records, including those of the 9/11 and Warren Commissions, military and civilian personnel records, and Presidential records. NARA also holds hundreds of thousands of artifacts, including high-value Presidential gifts.

OIG criminal investigations encompass a broad range of criminal activity including: theft of holdings and assets; embezzlement and procurement fraud; espionage and unauthorized release of classified information; the loss of personally identifiable information (PII); compromise of the NARA IT network; sensitive compartmental information facility (SCIF) violations; and ethics violations and other inappropriate conduct of NARA employees and officials. OIG investigators act with full statutory law enforcement authority executing search warrants, seizing evidence, and making arrests.

Additionally, as NARA's IT infrastructure and programs grow in size and complexity, the OIG must provide increased oversight.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Discretionary authority:			
Annual appropriation..	$ 4,130	$ 4,180	$ 4,801
Unobligated balance, expiring…………………………	-$ 743	$ 0	$ 0
Total obligations……………………………..	**$ 3,387**	**$ 4,180**	**$ 4,801**
Net outlays	*$ 2,833*	*$ 4,271*	*$ 4,285*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
11.1 Full-time, permanent...	$ 1,893	$ 2,783	$ 3,183
11.5 Other personnel compensation.........................	143	154	156
12.1 Civilian personnel benefits................................	738	988	1,207
21.0 Travel and transportation of persons................	27	27	27
25.1 Advisory and assistance services....................	453	179	179
25.2 Other services from non-Federal sources.......	26	14	14
25.3 Other goods & services from Fed. sources.....	8	15	15
25.4 Operation and maintenance of facilities………..	27	0	0
25.7 Operation and maintenance of equipment.......	14	10	10
26.0 Supplies and materials.....................................	38	5	5
31.0 Equipment..	20	5	5
99.0 Total obligations...	**$ 3,387**	**$ 4,180**	**$ 4,801**
Subtotal, PC&B.....................................	*2,774*	*3,925*	*4,546*
Subtotal, non-labor................................	*613*	*255*	*255*
Full-Time Equivalents (FTE)............................	16.0	24.0	24.0

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National Archives and Records Administration

REPAIRS AND RESTORATION

Fiscal Year 2017 Budget Request and

Capital Improvements Plan

CONTENTS

Appropriation Language

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage

for holdings, **$7,500,000**, to remain available until expended **[** *: Provided, That the remaining*

unobligated balances available under this heading in Public Laws 111–8 and 111–117 for

necessary expenses related to the repair and renovation of the Franklin D. Roosevelt Presidential

Library and Museum in Hyde Park, New York shall be available to implement the National

Archives and Records Administration Capital Improvement Plan. **]**

Analysis of Language Provisions and Changes

NARA proposes to delete the bracketed language above. This language was requested in the
FY 2016 President's Budget to authorize the one-time transfer of unobligated balances from
prior-year appropriations and does not need to be continued in FY 2017 and future years.

Program Description

This appropriation provides for the repair, alteration, and improvement of National Archives
facilities and Presidential Libraries nationwide. Funding provided allows NARA to maintain a
safe environment for public visitors and researchers, NARA employees, and the permanently
valuable Federal government records stored in NARA buildings.

Explanation of Changes
(Dollars in Thousands)

	Budget Authority
FY 2016 Enacted level..	$ 7,500
FY 2017 Appropriation request...	<u>7,500</u>
Net Change...	$ 0

Summary of the Request

The FY 2017 budget requests $7,500 thousand for Repairs and Restoration of NARA-owned Federal buildings in FY 2017, the same as the FY 2016 enacted level. This appropriation provides for major repairs and renovations to NARA buildings necessary to maintain health and safety standards for the occupants, preserve archival documents stored in NARA facilities, and protect the value of government real property assets.

The FY 2017 budget request provides for repairs and alterations to the 17 Federal buildings that NARA owns, operates, and maintains: the National Archives buildings in Washington, DC, College Park, MD, and Atlanta, GA, and fourteen Presidential Libraries and Museums across the United States.

NARA has two buildings listed on the National Register of Historic Places: the National Archives in Washington, DC, first occupied in 1935, and the Franklin D. Roosevelt Library in Hyde Park, NY, which was dedicated in 1941. All NARA buildings store and protect historically valuable and irreplaceable documents. Each year, approximately 4.5 million Americans visit NARA facilities to conduct research, attend conferences, view exhibits, and participate in educational programs.

Repairs and Restoration funding provides for building repair projects of $1,500 thousand or less, that are necessary to maintain building systems to meet archival storage requirements, keep interiors and exteriors in a proper state of repair, and provide facilities that are safe and efficient environments for employees, researchers, and visitors. Projects are prioritized for funding based on annual assessments performed by NARA engineers, which focus on protection of archival documents and artifacts, health and safety of building occupants, and cost effectiveness.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Unobligated balance carried forward........................	$ 9,061	$ 7,088	$ 3,000
Recoveries of prior-year obligations.........................	$ 94	$ 208	$ 0
New discretionary authority:			
No-year appropriation...	$ 7,600	$ 7,500	$ 7,500
New Discretionary authority................................	**$ 7,600**	**$ 7,500**	**$ 7,500**
Unobligated balance, available in future years.........	-$ 7,088	-$ 3,000	-$ 1,000
Total obligations..	**$ 9,667**	**$ 11,796**	**$ 9,500**
Net outlays	*$ 11,028*	*$ 11,715*	*$ 10,831*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
25.1	Advisory and assistance services..................	$ 799	$ 0	$ 0
25.2	Other services..	46	0	0
25.3	Goods and services from Gov't accounts........	2	0	0
25.4	Operation and maintenance of facilities...........	1,475	0	0
26.0	Supplies and materials................................	28	0	0
31.0	Equipment...	74	0	0
32.0	Land and structures.....................................	7,243	11,796	9,500
99.0	**Total obligations...**	**$ 9,667**	**$ 11,796**	**$ 9,500**

FY 2017 Capital Improvements Plan

The NARA Capital Improvement Plan (CIP) is a ten-year plan for capital projects to purchase, construct, or repair Federal buildings in NARA's custody and control. Including a project on the NARA CIP is not a commitment to funding and accomplishing the project: Projects may be deferred or delayed due to lack of available funds, emergencies, or changing priorities.

The NARA CIP is reviewed and updated on an annual basis through a structured process. The updated CIP reflects the most recent Building Condition Report (BCR) for each NARA-owned facility, as well as input from facility managers. Projects estimated to cost in excess of $1,500 thousand are generally identified as major projects, included in the CIP, and requested as separate line items in the annual NARA budget request for the Repairs and Restoration appropriation. Projects costing $1,500 thousand or less are prioritized and funded within base funding levels for Repairs and Restoration.

Building Projects

Dwight D. Eisenhower Library, Abilene, KS, Renovations and Visitor Center Expansion (Design & Construction).—The Eisenhower Library complex needs a major renovation to bring each of its five buildings and structures up to the current Architectural Design Standards for Presidential Libraries (ADSPL) and the Americans with Disabilities Act – Architectural Guidelines (ADA-AG), and to correct noted fire safety deficiencies.

NARA's most recent Building Condition Report (BCR) on the Eisenhower Library complex found that the buildings are well constructed and maintained, but they have never had a major renovation (only partial renovations) since the Library opened in the mid-1960s. This is particularly significant because preservation standards relative to temperature, humidity, and air quality have changed considerably since the time of the original construction.

Most of the major building systems have reached the end of their service life. NARA incrementally replaced those building systems that were in the most urgent need of replacement and could not wait for the larger renovation. These projects have allowed NARA to reduce the costs of a larger renovation project but only to a limited degree, since the incremental projects are not as efficient, leave portions of each facility without renovations, and don't attract the number of potential bidders that a larger project would.

A major project would allow NARA to reduce total project costs by phasing the renovation work over two fiscal years, while capturing the economy of a single project rather than multiple contracts with multiple contractors. The most recent BCR report indicates that – despite the large number of repairs already completed – NARA cannot keep up with deteriorating building conditions by only addressing urgent repairs.

National Archives at College Park, MD, Roof Replacement (Construction).–The roof is approaching the end of its anticipated life, and several areas of the roof require replacement. The original roof on the building was installed in 1992, during building construction. Most roofing systems have an anticipated service life of 15 to 20 years. NARA has already performed several repairs on the building roof. In FY 2010, NARA replaced the first section of roof over the administrative wing after roof leaks caused water damage and mold. NARA replaced a second section of the roof in FY 2011 (over the research complex), and replaced one section each in FY 2013 and FY 2014 (over archival storage bays).

Ronald Reagan Library, Simi Valley, CA, Building Renovation (Design & Construction).–The Reagan Library was originally constructed in 1991 and expanded in 2003, with the construction of the Presidential Learning Center. Many systems within the original construction will reach the end of their 25-year service life in FY 2014 and will require a major renovation.

NARA replaced some of the original building systems in connection with a recent renovation of the museum space that was funded by the private Ronald Reagan Foundation. NARA replaced some of the HVAC equipment, but only in areas disturbed by the renovation of the museum. At the time of the HVAC replacement, NARA prepared a design plan to bring all of the HVAC systems into compliance with the current archival standards. That design is waiting on construction funding and exceeds what can be paid from base R&R funds.

Harry S. Truman Library, Independence, MO, Building Renovation (Design & Construction).– The Truman Library requires a complete renovation in order to bring the entire building into compliance with the current Architectural Design Standards for Presidential Libraries. In the late 1990s, NARA renovated a portion of the Truman Library. At that time, there were areas that were not included in the renovations and the current archival storage standards had not been developed. Since then, many small repairs have been made, based on BCR recommendations (mostly related to the fire protection and fire alarm systems and an elevator replacement project). NARA recently replaced a portion of the building security system. In FY 2014, NARA started a two-year project to replace the facility's air handling units. The areas that have not been renovated still need a renovation, and the previously renovated area needs to be revisited to bring the facility into compliance with current archival storage standards.

National Archives at College Park, MD, HVAC Renovations (Design & Construction).– NARA has started replacing components of some of HVAC systems, but in many cases, the entire system has reached the end of its anticipated service life. Most major mechanical equipment has an anticipated service life of between 20 to 30 years of normal use: NARA HVAC systems have been required to operate 24 x 7, 365 days per year for nearly 25 years.

Gerald R. Ford Library, Ann Arbor, MI, Electrical, HVAC, and Building Renovation (Design & Construction).–The Ford Library requires many repairs, including several repairs that require immediate attention. While some minor repairs have been made, the total cost of the necessary repairs to electrical and HVAC systems exceeds what can be funded from base funding. The scope of this project could be reduced to cover only HVAC, electrical systems, and other building renovation items since these repairs are more critical than other, necessary repairs.

Lyndon B. Johnson Library, Austin, TX, Space Alteration (Design & Construction).–The Johnson Library requires a major renovation, both due to the age of the facility and to address specific repairs identified in the most recent BCR. The library has not had a major renovation, other than recent repairs to the plaza and replacement of some of the building air handling units (under a 2006 ESPC energy savings project), since its dedication in May 1971. In addition, NARA has performed a comprehensive space planning study for the Johnson Library which documented that substantial changes to the building could improve the space utilization and energy efficiency of the facility (the facility configuration is essentially unchanged from the original 1971 layout).

Jimmy Carter Library, Atlanta, GA, Building Renovation (Design & Construction).–The Carter Library requires a complete replacement of building mechanical and electrical systems, and the BCR has identified several other repairs that require attention within the next five years. NARA recently replaced some building mechanical systems in connection with the Foundation-funded renovation of the museum exhibit (to take advantage of the fact that the museum space was temporarily closed). This project helped to bring some areas of the facility into compliance with current archival standards and improve energy efficiency. NARA must replace additional mechanical and electrical equipment, and perform additional BCR repairs throughout the facility.

Ford Library, Ann Arbor, MI, Parking Lot Expansion (Construction).–This project would increase the available parking for the Ford Library. Currently, the parking lot is very small and, when there are large events, parking capacity is exceeded. This effort could be combined with a larger building renovation, if funding was available, and it would allow NARA to use the parking lot as a staging area for the renovations and repair the lot at the conclusion of the renovations.

National Archives at College Park, MD, Interior Public Address System Replacement (Construction).–The interior P/A system is the means by which NARA can immediately contact all employees in case of an emergency. The system was installed in the early 1990s and was repaired in the early 2000s. The anticipated service life of the system is 20 years and through routine testing it is apparent that the system will need to be replaced in the near future.

William J. Clinton Library, Little Rock, AR, Desiccant Dryer Replacement (Construction).–The Clinton Library uses several desiccant dryers (used to reduce humidity levels in storage areas) to maintain the necessary preservation standards for Presidential records. Desiccant dryers normally have a service life of between 10 and 15 years before they need a major retrofit. The Clinton dryers were installed in 2004 and will need to be replaced by 2019.

Richard Nixon Library, Yorba Linda, CA, Building Renovation (Design & Construction).–The Nixon Library requires a partial building renovation. NARA accepted the Nixon Library from the Richard Nixon Foundation in 2007. At the time of the transfer, the building was approximately 17 years old. Prior to transferring the building, the Foundation performed a partial renovation to the artifact storage area of the facility, but the museum area was not included in this renovation. In FY 2010, NARA replaced the museum air handling units and several other major HVAC components (chillers and pumps) since these replacements could not wait for future renovations; however, additional repairs identified in the BCR have not been addressed and the remaining areas of the building still require renovation.

John F. Kennedy Library, Boston, MA, Seawall Repairs (Design & Construction).–The seawall requires continual maintenance and NARA estimates renovation on the seawall will be required approximately every fifteen years. Repairs were last made to the seawall in 2002.

George H.W. Bush Library, College Station, TX, Building Renovation (Design & Construction).– By FY 2017, the George Bush Library will be twenty years old and – while the building is currently in good condition (especially with the recent replacement of the roof to stop water leaks) – NARA must anticipate and plan for a renovation to the building.

William J. Clinton Library, Little Rock, AR, Building Renovation (Design & Construction).–The Clinton Library was opened in 2004. By FY 2022, the building will be nineteen years old and it is anticipated that some renovation work will be needed to the building structure and systems.

National Archives and Records Administration

**NATIONAL HISTORICAL PUBLICATIONS
AND RECORDS COMMISSION GRANTS PROGRAM**

Fiscal Year 2017 Budget Request

CONTENTS

Appropriation Language

For necessary expenses for allocations and grants for historical publications and records as

authorized by 44 U.S.C. 2504, **$5,000,000**, to remain available until expended.

Program Description

The National Historical Publications and Records Commission (NHPRC) grants program
provides for grants to preserve and publish non-Federal records that document American
history. This appropriation supports core programs and initiatives in the form of grants that
publish, preserve, and make accessible important historical documents.

Explanation of Changes
(Dollars in Thousands)

	Budget Authority
FY 2016 Enacted level..	$ 5,000
FY 2017 Appropriation request...	5,000
Net Change..	$ 0

Summary of the Request

The FY 2017 budget requests $5,000 thousand to support the mission and projects of the National Historical Publications and Records Commission (NHPRC), the same as the FY 2016 enacted level. Funds requested provide for grants to State, local, and tribal governments, educational institutions, and private, non-profit archives and records repositories. An additional $1,434 thousand in the NARA Operating Expenses appropriation provides for the salaries and expenses of administering the NHPRC grants program.

The NHPRC awards competitive, matching grants to support cataloging, preservation, and public access to the papers of historically important citizens, documents that record and explain the history of the United States, and records of the actions and decisions of American government. NHPRC grants maximize the value of Federal funds by requiring grantees to match at least an equal amount of funds from non-Federal sources. In addition, grantees are required to analyze and share the results of their federally-assisted work with the public and within professional circles, thereby expanding the impact of each project outcome.

Strategic Direction

The NHPRC grants program is a nation-wide platform for advancing the President's Open Government National Action Plan and the Digital Government Strategy at State, local, and tribal government archives and other records repositories. The NHPRC is uniquely positioned to promote advances in public participation in government at all levels, and modernizing the management of non-Federal governmental records.

Funds requested in the FY 2017 budget would be used to implement the new NHPRC Strategic Plan, which is currently being finalized for deployment in calendar year 2016. The new plan features a framework with four goals to be carried out through grant programs or special initiatives that combine the statutory role of the NHPRC with the Administration's objectives to create an informed and engaged citizenry and a modern, twenty-first century government. Over 35 stakeholder groups have had the opportunity to comment on and provide input to the strategic plan as it was developed.

The NHPRC Strategic Plan has four goals:

1. ***Expand access to the nation's historical records.***—The NHPRC provides opportunities for citizens to discover and use records that increase understanding of American democracy, history, and culture. The NHPRC "makes access happen" for important archives not in Federal repositories by funding projects that preserve and make available collections of historical records, including digital documentary editions online.

    The NHPRC will develop grant programs and new undertakings to:
    *   Support multiple levels of access leading to online access and to open access;
    *   Promote the development and use of standards for online publishing of collections;
    *   Identify historically significant collections in need of a national initiative for full online access; and
    *   Partner with and support collaborative and collective projects for long-term sustainability of digital resources.

2. ***Engage the American people in preserving the American record.***—The NHPRC must encourage greater public engagement with archival materials as a way to support critical thinking skills and basic research techniques. NARA has enlisted Citizen Archivists in crowdsourcing, and the Commission will seek to broaden that practice and to:
    *   Encourage new organizational methods for crowdsourcing for historical records;
    *   Promote educational/training efforts for Citizen Archivists in the nation's archives; and
    *   Collaborate with state historical records boards on local & statewide grassroots projects.

3. ***Provide leadership through the National Archives.***—NARA plays a key national leadership role in developing and promoting best practices, model programs, and partnerships among the nation's vast network of archives and documentary editing projects. NARA will leverage the NHPRC's mission and scope in order to:
    *   Build state partnerships around key needs, such as electronic records management;
    *   Continue to support professional development opportunities for archivists and documentary editors;
    *   Fund research, development, and dissemination of best practices; and
    *   Collaborate with other funders on initiatives and programs.

4. ***Adapt Commission practices to extend its reach and leverage.***—The NHPRC seeks to encourage a more inclusive pool of applicants that represents the rich diversity of America's culture and history. To that end, we will seek ways to demonstrate the public impact of programming and to improve internal management processes to streamline the application and review processes.

Founding Fathers Project

The NHPRC will continue to oversee the long-term *Founding Fathers* editorial projects, which are making the papers of the Founding Fathers freely available online in a modern (transcribed) format with fully scholarly annotation. *Founders Online,* a free web resource launched in June 2013, includes hundreds of volumes of the personal papers of six of the political leaders and statesmen who formed American Democracy by signing the Declaration of Independence, taking part in the American Revolutionary War, and establishing the United States Constitution: George Washington, John Adams, Thomas Jefferson, James Madison, Alexander Hamilton, and Benjamin Franklin. These leaders corresponded with hundreds of individuals during the Revolutionary era through the early national period, and *Founders Online* serves as a comprehensive resource for discovering these writings.

Founders Online realized over 2 million unique visitors in less than two years (June 2013-April 2015). The resource is the recipient of awards from national historical and archival organizations. Usage has increased significantly as high school and college educators continue to incorporate the resource into their classrooms. The NHPRC will maintain its oversight of the web portal as editorial teams continue to transcribe and annotate newly edited historical documents for addition to the web resource.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Unobligated balances carried forward.....................	$ 182	$ 281	$ 300
Recoveries of prior-year obligations........................	$ 376	$ 356	$ 0
New discretionary authority:			
No-year appropriation...	$ 5,000	$ 5,000	$ 5,000
Spending authority collected.………………….…	$ 2	$ 0	$ 0
New Discretionary authority................................	**$ 5,002**	**$ 5,000**	**$ 5,000**
Unobligated balance, available in future years.........	-$ 281	-$ 300	-$ 300
Total obligations...	**$ 5,279**	**$ 5,337**	**$ 5,000**
Net outlays	*$ 4,926*	*$ 5,985*	*$ 4,336*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
41.0 Grants, subsidies, and contributions............	$ 5,279	$ 5,337	$ 5,000
99.0 Total obligations...	**$ 5,279**	**$ 5,337**	**$ 5,000**

National Archives and Records Administration

SPECIAL FUNDS

Fiscal Year 2017 Budget Request

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Records Center Revolving Fund

Authorizing Language

Authorization of the Records Center Revolving Fund is codified as 44 U.S.C. § 2901 *note*. This provision authorizes the National Archives and Records Administration (NARA) to operate a full cost recovery revolving fund to provide for the expenses of storage and related services for temporary and pre-archival Federal government records at NARA Records Centers. Operations of NARA Records Centers are financed by user charges collected from other Federal agencies for storage and related services. Once collected, funds are available for obligation without fiscal year limitation.

Program Description

This full cost recovery revolving fund provides for the storage and related services that NARA Record Centers provide to Federal agency customers. NARA Federal Records Centers provide low-cost, high-quality storage and related services, including: transfer, reference, re-file, and disposal services for temporary and pre-archival Federal government records.

Explanation of Changes
(Dollars in Thousands)

	FTE	Obligations
FY 2016 Current...	1,206.0	$ 180,629
FY 2017 Budget...	1,206.0	182,404
Net Change..	0.0	$ 1,775

The FY 2017 budget includes an estimated $182,404 thousand in obligations for the Records Center Revolving Fund. This represents a net increase of $1,775 thousand from FY 2016 estimated obligations. This full cost-recovery revolving fund provides for the operations of the NARA Federal Records Centers Program (FRCP). The FRCP stores over 28 million cubic feet of Federal government records on a temporary basis, on behalf of other Federal agencies. The FRCP is financed by payments from customer Federal agencies for services rendered.

The FRCP stores temporary records that must be retained for a period of years before disposal, as well as permanently valuable records that are not ready to be transferred to NARA's legal custody. The FRCP provides a variety of related services, including: loan or return of records to the agency of origin; authentication of reproductions of official records; and provision of information from records. The FRCP manages records disposition schedules for customer Federal agencies, by disposing of records that no longer have current or historical value at the end of their retention period, and transferring records with permanent historical value into archival custody at the appropriate time. The FRCP also provides technical assistance and advice on records maintenance, storage, and disposition.

Income/Cost Comparison
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Current	FY 2017 Budget
Revenue..	$ 180,731	$ 182,155	$ 183,879
Expenses...	175,951	179,352	180,959
Net Operating Result....................................	**$ 4,780**	**$ 2,803**	**$ 2,920**
Net outlays	*-$ 8,604*	*$ 0*	*$ 0*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2015 Actual	FY 2016 Current	FY 2017 Budget
11.1	Full-time, permanent..	$ 56,341	$ 58,107	$ 58,296
11.3	Other than full-time permanent............................	968	1,066	1,069
11.5	Other personnel compensation............................	3,881	3,283	3,283
11.8	Special personal services payments...................	61	61	61
12.1	Civilian personnel benefits..................................	20,064	20,060	20,125
13.0	Benefits for former personnel.............................	230	300	300
21.0	Travel and transportation of persons..................	500	475	475
22.0	Transportation of things......................................	1,086	980	980
23.1	Rental payments to GSA......................................	41,664	42,304	43,722
23.2	Rental payments to others...................................	11,638	11,871	12,108
23.3	Communications, utilities, and misc. charges....	4,579	4,734	4,734
24.0	Printing and reproduction....................................	99	50	50
25.1	Advisory and assistance services.......................	4,280	4,442	4,442
25.2	Other services from non-Federal sources..........	1,335	2,661	2,661
25.3	Other goods & services from Federal sources...	11,313	11,099	11,099
25.4	Operation and maintenance of facilities..............	396	393	393
25.7	Operation and maintenance of equipment..........	10,099	9,948	9,948
26.0	Supplies and materials..	1,303	1,162	1,162
31.0	Equipment...	6,691	7,633	7,496
32.0	Land and structures...	351	0	0
99.0	**Total obligations..**	**$ 176,879**	**$ 180,629**	**$ 182,404**
	Subtotal, PC&B...	*81,545*	*82,877*	*83,134*
	Subtotal, non-labor....................................	*95,334*	*97,752*	*99,270*
	Full-Time Equivalents (FTE)..............................	1,204.0	1,206.0	1,206.0

National Archives Gift Fund

Authorizing Language

The National Archives Trust Fund Board, chaired by the Archivist of the United States, is authorized by 44 U.S.C. § 2305 to solicit and accept gifts or bequests of money, securities, or other personal property, for the benefit of or in connection with the archival and records activities administered by the National Archives and Records Administration.

Program Description

The National Archives Trust Fund Board may accept conditional and unconditional gifts or bequests of money, securities, or other personal property for the benefit of NARA activities. NARA receives endowments from private foundations to offset a portion of the operating costs of Presidential Libraries.

Explanation of Changes
(Dollars in Thousands)

	Obligations
FY 2016 Current..	$ 2,867
FY 2017 Budget..	2,510
Net Change...	-$ 357

The FY 2017 budget includes an estimated $2,510 thousand in obligations for the National Archives Gift Fund, a net decrease of -$357 thousand compared to FY 2016 estimated obligations of $2,867 thousand. The decrease is due to the non-recur of large, one-time expenditures in FY 2016, including: preparations at the John F. Kennedy Presidential Library and Museum in Boston, MA to celebrate the FY 2017 centennial of President Kennedy's birth, a gift from the Foundation for the National Archives to support National History Day activities at the National Archives in Washington, DC, and installation of the interactive Situation Room project at the Ronald Reagan Presidential Library and Museum in Simi Valley, CA.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Current	FY 2017 Budget
Unobligated balance, start of year	$ 2,417	$ 2,934	$ 3,759
Recoveries of prior year unpaid obligations	12	5	5
Budget authority:			
Mandatory appropriation....................................	**$ 3,876**	**$ 3,687**	**$ 3,072**
Unexpired unobligated balance, end of year	-2,934	-3,759	-4,326
Total obligations..	**$ 3,371**	**$ 2,867**	**$ 2,510**
Net outlays	*$ 3,203*	*$ 2,849*	*$ 3,124*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2015 Actual	FY 2016 Current	FY 2017 Budget
21.0	Travel and transportation of persons...................	$ 31	$ 100	$ 100
22.0	Transportation of things..	16	7	7
24.0	Printing and reproduction.....................................	15	15	13
25.2	Other services from non-Federal sources..........	791	945	599
25.3	Other goods & services from Federal sources...	69	255	255
26.0	Supplies and materials...	69	80	71
31.0	Equipment..	98	97	97
32.0	Land and structures...	789	0	0
33.0	Investments...	920	795	795
94.0	Financial Transfers...	573	573	573
99.0	**Total obligations..**	**$ 3,371**	**$ 2,867**	**$ 2,510**

National Archives Trust Fund

Authorizing Language

The Archivist of the United States furnishes, for a fee, copies of unrestricted records in the custody of the National Archives (44 U.S.C. § 2116). Proceeds from the sale of copies of microfilm publications, reproductions, special works, and other publications, and admission fees to Presidential Library museum rooms are deposited to the National Archives Trust Fund (44 U.S.C. §§ 2112, 2307).

Program Description

The National Archives Trust Fund receives and disburses funds collected from sales to the public, including:

Reproduction of Records: The Trust Fund provides for sales to the public of reproductions of records in multiple formats, including paper, photographs, microfilm, and digital images.

Admission Fees: The Trust Fund collects fees charged for admission to museum exhibits and for educational workshops and conferences held at Presidential Libraries and other NARA locations.

Sales of Publications and Merchandise: The Trust Fund supports e-Commerce sites for the Presidential Libraries, provides for the operation of several Library museum stores, and supports the printing and distribution of Prologue magazine, a publication that presents stories based on the holdings of the National Archives.

Room rentals: The Trust Fund collects fees charged for private events that are held in National Archives facilities and Presidential Libraries. NARA makes event space available for cultural, educational, and corporate events when those spaces are not being used for official Government business.

Royalties from Partnership Agreements: The Trust Fund enters into agreements with third party vendors to develop and sell products based on the holdings of the National Archives. The Fund then retains a royalty percentage of products sold by commercial partners.

Investment Income: The Trust Fund invests excess revenues from sales as well as donations, in accordance with statutory authority of the National Archives Trust and Gift Funds. The income earned on investments is used to support National Archives programs.

Fees for Archival and Records Management Training: The Trust Fund supports efforts to offer archival and genealogical training to the public and records management training to Federal employees and contractors supporting Federal records management programs.

Explanation of Changes
(Dollars in Thousands)

	FTE	Obligations
FY 2016 Current...	99.0	$ 19,302
FY 2017 Budget..	103.0	18,525
Net Change..	4.0	-$ 777

The FY 2017 budget includes an estimated $18,525 thousand in obligations for the National Archives Trust Fund, a net decrease of -$777 thousand from FY 2016 estimated obligations of $19,302 thousand. The decrease reflects the non-recur of one-time costs in support of the FY 2016 Hemingway Exhibit at the John F. Kennedy Presidential Library and Museum.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2015 Actual	FY 2016 Current	FY 2017 Budget
Unobligated balance, start of year	$ 11,311	$ 12,594	$ 11,160
Unobligated balance, precluded from obligation	-78	-159	-227
Recoveries of prior year unpaid obligations	542	0	0
Budget authority:			
Mandatory appropriation..	$ 19,677	$ 17,800	$ 18,100
Change in uncollected payments..........................	$ 147	$ 0	$ 0
Joint Committee Sequestration[1] …………………	-81	-68	-68
New Budget Authority..	**$ 19,743**	**$ 17,732**	**$ 18,032**
Unexpired unobligated balance, end of year	-$ 12,594	-$ 10,933	-$ 10,508
Unobligated balance, precluded from obligation	[159]	[227]	[295]
Total obligations...	**$ 19,005**	**$ 19,302**	**$ 18,525**
Net outlays	*-$ 1,770*	*$ 0*	*$ 0*

1. As required by section 251A of the Balanced Budget and Emergency Deficit Control Act, as amended (2 U.S.C. § 901a), administrative expenses for the Trust Fund are reduced by 7.3 percent in FY 2015, and an estimated 6.8 percent in FY 2016 and FY 2017.

Obligations by Object Classification
(Dollars in Thousands)

		FY 2015 Actual	FY 2016 Current	FY 2017 Budget
11.1	Full-time, permanent..	$ 3,977	$ 4,733	$ 4,938
11.3	Other than full-time permanent............................	98	102	106
11.5	Other personnel compensation............................	142	177	184
12.1	Civilian personnel benefits..................................	1,390	1,522	1,621
21.0	Travel and transportation of persons...................	196	304	302
22.0	Transportation of things......................................	202	185	242
23.2	Rental payments to others..................................	1	8	8
23.3	Communications, utilities, and misc. charges....	122	301	297
24.0	Printing and reproduction....................................	631	499	499
25.1	Advisory and assistance services.......................	88	67	55
25.2	Other services from non-Federal sources..........	3,973	2,884	2,360
25.3	Other goods & services from Federal sources...	1,848	2,304	2,267
25.4	Operation and maintenance of facilities.............	189	67	55
25.7	Operation and maintenance of equipment..........	215	183	150
26.0	Supplies and materials..	1,338	2,138	1,697
31.0	Equipment..	269	450	357
32.0	Land and structures...	879	0	0
33.0	Investments..	3,447	3,378	3,387
99.0	**Total obligations...**	**$ 19,005**	**$ 19,302**	**$ 18,525**
	Subtotal, PC&B.......................................	*5,607*	*6,534*	*6,849*
	Subtotal, non-labor..................................	*13,398*	*12,768*	*11,676*
	Full-Time Equivalents (FTE)……………………	87.0	99.0	103.0

This section reports on the benefits realized and expected from Electronic Government (E-Gov) initiatives funded by NARA through contributions to other agencies. This section is provided to comply with the reporting requirements provided in Section 737 of Public Law 110-161, the FY 2008 Consolidated Appropriations Act.

E-Gov initiatives benefit multiple Federal agencies and are supported by the financial contributions of all benefiting agencies. The contributions of a particular Federal agency are typically characterized as "Managing Partner" or "Participating Partner". Only one agency is selected to be the Managing Partner of an E-Gov initiative, and all other agencies involved in the initiative are considered Participating Partners. NARA is not a Managing Partner of any E-Gov initiatives.

Funding for each E-Gov initiative is reported as either agency contributions or agency service fees. Agency contributions (including in-kind contributions) are the total value of cash and in-kind contributions provided. Service fees represent fees collected based on actual usage.

Benefits of Electronic Government (E-Gov) Initiatives
(In Whole Dollars; All Dollars are from the Operating Expenses appropriation unless otherwise noted)

E-Gov Initiative	Benefits	Funding by Account	
		FY 2016	FY 2017
E-Rulemaking	e-Rulemaking allows NARA to fully participate in the Federal Docket Management System, making it easier for the public to review and comment on proposed regulations. The Records Management module allows NARA to maintain electronic dockets in a recordkeeping system.	$ 13,991 service fee	$ 10,000 service fee
Recruitment One-Stop	Recruitment One-Stop provides NARA with an effective mechanism for finding qualified applicants for vacant positions, through USAJOBS.gov. USAJOBS is an online portal which citizens can use to easily search for employment opportunities at NARA. NARA posts all of its job announcements through USAJOBS.gov.	$ 8,700 service fee	$ 9,791 service fee
		$ 10,212 service fee Revolving Fund	$ 11,493 service fee Revolving Fund

Benefits of Electronic Government (E-Gov) Initiatives
(In Whole Dollars; All Dollars are from the Operating Expenses appropriation unless otherwise noted)

E-Gov Initiative	Benefits	Funding by Account	
		FY 2016	FY 2017
E-Travel	E-Travel provides NARA with efficient and effective travel management services. Benefits include cost savings from cross-government purchasing agreements, streamlined travel policies and processes, strict security and privacy controls, and enhanced agency oversight and audit capabilities. NARA employees benefit through more efficient travel planning, authorization, and reimbursement processes.	$ 56,962 service fee	$ 56,962 service fee
		$ 34,913 service fee Revolving Fund	$ 34,913 service fee Revolving Fund
Grants.gov	Grants.gov benefits NARA's grant program by providing a single location to publish grant award opportunities and application packages, and a single site for the grants community to apply for grants using common forms, processes, and systems.	$ 38,622 agency contribution	$ 37,443 agency contribution

This section reports on agency actions to address top Management Challenges identified by the NARA Office of Inspector General (OIG) in their most recent Semiannual Report to Congress (covering the period April 1 to September 30, 2015). This section is provided to comply with the reporting requirements provided in the introductory language of Division E of the Joint Explanatory Statement accompanying the FY 2016 Consolidated Appropriations (P.L. 114-113).

The NARA OIG conducts independent audits, investigations, and other reviews that present findings significant issues and provide recommendations for corrective actions. The OIG consolidates and aligns their findings and recommendations to identify broader areas that the OIG believes represent the agency's most significant challenges. The OIG reports those areas identified as NARA's top ten management challenges on a semi-annual basis.

The following table describes top Management Challenges identified by the NARA OIG and explains how NARA's FY 2017 budget request addresses each Challenge. The descriptions of OIG Management Challenges are summaries prepared by Management and are not represented as independent or objective descriptions. The original descriptions prepared by the NARA OIG can be found in the most recent OIG Semiannual Report to Congress, located at link: http://www.archives.gov/oig/pdf/2015/semiannual-congress-9-2015.pdf.

Management Challenge	NARA Actions
1. Electronic Records Archives (ERA): The ERA system is NARA's primary strategy for addressing the challenge of storing, preserving, transferring, and providing public access to our nation's electronic records. However, the program has been fraught with delays, cost overruns, and technical shortcomings and deficiencies. As a result, many core requirements were not fully addressed, and ERA has had problems with reliability, scalability, usability, and cost. Additionally, NARA needs to start planning to assume custody of a significant number of electronic Presidential records that will be transferred to NARA as a result of the FY 2017 Presidential Transition.	The FY 2017 budget for NARA Operating Expenses requests additional funding to complete development of ERA 2.0. ERA 2.0 will migrate electronic records storage from proprietary servers to cloud storage services and will improve workflow and tools for transferring new electronic records into ERA, addressing key findings of the OIG. Significantly, ERA 2.0 will include functionality originally envisioned for ERA 1.0 (but not included in the deployed system). Once new tools are deployed in ERA 2.0, NARA will retire legacy systems, effectively resolving long-standing OIG concerns and addressing "funds put to better use" concerns raised in previous OIG audits of ERA. NARA's FY 2017 budget for Operating Expenses also requests additional funding to provide for the FY 2017 Presidential Transition, including necessary investments in ERA to accept the electronic Presidential records of the Obama Administration.

Management Challenge	NARA Actions
2. Improving Records Management: NARA must work with Federal agencies to ensure the effective and efficient appraisal, scheduling, and transfer of permanent records, in both traditional and electronic formats. NARA is challenged to ensure appropriate retention and preservation of records – especially electronic records – at other Federal agencies while adapting to a rapidly changing technological environment and the exponential growth of electronic records. The Presidential Memorandum *Managing Government Records* and OMB Memorandum M-12-18, *Managing Government Records Directive*, established aggressive goals for Federal Executive agencies to transition to fully-electronic recordkeeping. NARA lacks sufficient controls to protect permanent electronic records from loss, and Federal agencies are challenged with meeting these deadlines, determining how best to manage electronic records in accordance with this guidance, and how to make electronic records management work more effectively.	The FY 2017 budget for NARA <u>Operating Expenses</u> includes funding to address NARA's explicit commitments in the *Managing Government Records Directive* (M-12-18) and provide agencies with guidance necessary to fulfill their requirements. OMB issued M-12-18 specifically to address many of the same concerns that are raised by NARA's OIG. The milestones in M-12-18 have established a government-wide framework to ensure that permanently-valuable electronic records are appropriately retained and transferred to the National Archives for preservation and public access. Since M-12-18 was issued, NARA has reorganized the Office of the Chief Records Officer and developed new internal processes to ensure objectives and milestones in M-12-18 are met. NARA has brought additional Management attention to its responsibilities for M-12-18 implementation by identifying this area as a FMFIA reportable condition, bringing progress against M-12-18 goals under the oversight of the agency internal controls and risk management body. The FY 2016 Consolidated Appropriations Act (P.L. 114-113) provided new funding to establish a dedicated team within NARA to conduct inspections of other Federal agencies record-keeping practices, and to conduct system audits of agency electronic recordkeeping systems, including email. NARA's FY 2017 budget for <u>Operating Expenses</u> would continue to enhance NARA oversight over Federal records in the custody of other Federal agencies, assure the appropriate retention of those records, and mitigate risks identified during inspections and audits.

Management Challenge	NARA Actions
3. Information Technology Security: Annual assessments of NARA's compliance with the Federal Information Security Management Act have consistently identified program areas in need of significant improvement. New risks and challenges to NARA IT security are identified each year. Many of these deficiencies stem from the lack of strategic planning with regard to the redundancy, resiliency, and overall design of NARA's network. While initiatives have been introduced to improve NARA's information security program, real progress will not be made until the agency establishes an effective system of internal control for IT security.	The FY 2017 budget for Operating Expenses requests additional funding and FTE to address control deficiencies in IT security. NARA has requested staffing resources to support continuous monitoring of NARA IT systems and networks, and to implement NIST standards for continuous monitoring of IT security risks. NARA has also requested funding to complete implementation of HSPD-12 controls over logical access to NARA IT systems and data, and to integrate separate control systems for physical and logical access. NARA Management believes these actions directly address key findings and recommendations of the OIG.

In addition, NARA Management has identified IT security as a FMFIA material weakness and continues to dedicate funding in Operating Expenses to address five control deficiencies that pose a potential risk to IT Security, in the following areas: (1) Authority to Operate (ATO); (2) Desktop Baseline Configuration; (3) Server Baseline Configuration; (4) Patch Management, and; (5) Information Security Continuous Monitoring (ISCM). Management selected these vulnerabilities – and identified the actions necessary to address them –based on the annual FISMA assessment and audit findings from the OIG and GAO. |

Management Challenge	NARA Actions
4. Expanding Public Access to Records: NARA has established a goal of digitizing all analog archival records and making them available online. However, NARA's past digitization efforts have not been large enough to make significant progress towards meeting this goal, and millions of records already digitized have not been made available to the public in an efficient and timely manner. NARA is also challenged to provide online access to records created digitally ("born digital") and to identify those textual records most in demand so they can be digitized and made available electronically. NARA must ensure the appropriate management, strategy, and resources are in place to achieve its access and digitization goals. Approximately 30 percent of NARA's textual holdings have not been processed to allow efficient and effective public access to them. To meet its mission, NARA must work to ensure it has the processes and resources necessary to establish intellectual control over this backlog of unprocessed records.	NARA has developed a new digitization plan and will leverage funding in the FY 2017 request for <u>Operating Expenses</u> as well as no-cost arrangements with private sector partners to digitize analog records from NARA's holdings. The <u>Operating Expenses</u> request also includes funding for the operations and continued development of the National Archives Catalog (NAC), NARA's system for providing online public access to digitized and born-digital records, and expansion of NARA's new enterprise cloud computing contract. NARA continues to dedicate funding in the FY 2017 request for <u>Operating Expenses</u> to ensure that traditional records are processed to an appropriate level and that newly-accessioned records are processed in a timely manner. Since FY 2007, NARA has increased the percentage of traditional holdings processed from less than 30% to 71% of total traditional holdings at the end of FY 2015. This progress was made despite a 27% increase in holdings over the period. NARA has addressed OIG audit recommendations by: establishing a common definition of necessary processing steps; developing performance measures; and establishing controls to reasonably ensure that NARA locations are uniformly applying the standards.

Management Challenge	NARA Actions
5. Meeting Storage Needs of Growing Quantities of Records: NARA is challenged in acquiring sufficient archival space to store its ever-increasing volume of textual records. NARA must also ensure its own facilities, as well as those used by other Federal agencies, comply with NARA-promulgated regulations for appropriate storage of textual records and mitigate risks to records which are stored in facilities not meeting these standards. NARA is also challenged in meeting its requirements for electronic data storage to provide appropriate storage for electronic records.	The FY 2017 budget for <u>Operating Expenses</u> includes funding for the operations and maintenance of NARA storage facilities, and for repairs necessary to maintain storage requirements in leased facilities. The <u>Repairs and Restoration</u> budget includes funding for necessary repairs to NARA-owned buildings. The FY 2016 Consolidated Appropriations provided funding to improve and acquire new leased space for storage of Congressional records. This new space will provide some relief for NARA's space needs, but is not enough to fully address NARA's storage requirements. NARA's FY 2017 budget for <u>Operating Expenses</u> requests additional funding to provide for rental payments for the newly-acquired space. The FY 2017 <u>Operating Expenses</u> budget also requests new funding to complete development of ERA 2.0, which will provide scalable, cloud-based storage for electronic archival records.
6. Preservation Needs of Records: Preservation resources have not been able to adequately address the growth in holdings needing preservation action. This affects both traditional paper records and the physical media electronic records and audiovisual records are stored on. Previous OIG audits have focused on NARA's inability to measure preservation workload and a lack of controls around NARA's ability to demonstrate preservation decisions were being made based on systematic application of relevant criteria.	The FY 2017 budget for <u>Operating Expenses</u> includes funding for multiple activities and functions designed to ensure the preservation of NARA records in multiple traditional and electronic formats. NARA uses a modern, risk-based preservation strategy to allocate resources on the highest priority preservation needs while ensuring that all records have reasonable safeguards to maintain their overall condition. In FY 2016, NARA will establish a preservation governance board that reviews annual preservation risk assessments to continuously assess the effectiveness of the strategy. Funds dedicated to preservation in the FY 2017 budget will be allocated based on the preservation strategy and the results of annual assessments of the condition of NARA holdings.

Management Challenge	NARA Actions
7. **Improving Project and Contract Management:** NARA is challenged with planning projects, developing adequately defined requirements, analyzing and testing to support acquisition and deployment of the systems, and providing oversight to ensure effective or efficient results within costs. NARA IT projects must be better managed and tracked to ensure budget, scheduling, and performance goals are met. NARA has been inconsistent in its use of key project management disciplines, including earned value management (EVM), which has negatively impacted key IT projects, including HSPD-12 implementation. NARA is also challenged to continue strengthening of its acquisition workforce and improving oversight of contractors.	The FY 2017 budget for Operating Expenses requests new funding for program and project managers to support continued development of ERA 2.0. Additional program and project managers will address some of the concerns of the OIG and ensure improved oversight of project timelines, deliverables, and contractors. The budget also includes funding for program and project management certification and training. New and existing project management staff will have access to current training programs to enhance their skills. NARA's Chief Information Officer has substantially improved Management involvement in IT projects and has established program manager positions to provide greater oversight over individual IT projects and contractors.
8. **Physical and Holdings Security:** NARA must maintain adequate levels of physical security to ensure the safety and integrity of persons and holdings within NARA facilities. NARA's implementation of the Holdings Protection Team and stricter access controls within the past five years has increased NARA's security posture. However, these functions require greater oversight and accountability.	The FY 2017 budget for Operating Expenses includes funding for NARA's dedicated Holdings Protection Team, as well as other functions and activities (such as exit screening at select facilities) necessary to ensure the security of NARA's holdings and facilities. Since first identified as a weakness, Management has implemented a large number of physical and internal controls to mitigate the risk of loss. The FY 2017 budget includes funding for testing and monitoring of those controls to deter theft, provide reasonable assurance that vulnerabilities are reduced, and allow for the timely identification of any future weakness.

Management Challenge	NARA Actions
9. Human Resources Management: NARA has not developed a comprehensive and cohesive approach to human capital management. Adequate policies and procedures have not been developed, updated, and communicated which makes it difficult to manage human capital efficiently and effectively. NARA also lacks an authoritative source of human capital data on all types of worker (Federal employees, contractors, and volunteers).	The FY 2017 budgets for <u>Operating Expenses</u> and the <u>Records Centers Revolving Fund</u> include funding for NARA human capital functions and systems, including on-going efforts to improve human capital policies and processes, training and employee development, and management and supervision by NARA supervisors. NARA continues to work with its human resources shared services provider to improve the accuracy and reliability of NARA human capital data.
10. Management of Internal Controls: The OIG has concluded that NARA has not established an effective internal controls program and lacks an established enterprise risk management capability, thus reducing Management's ability to anticipate future challenges and avoid potential crises.	The FY 2017 budgets for <u>Operating Expenses</u> and the <u>Records Centers Revolving Fund</u> include funding NARA's centralized internal controls program, as well as the internal controls functions performed across the agency. NARA has incrementally matured its system of internal controls, resulting in the identification of several program risks that may not have been recognized. In FY 2017, NARA will continue to develop the internal controls program and Management's ability to self-identify, manage, and mitigate controls risks.

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National Archives and Records Administration

**FY 2017 ANNUAL PERFORMANCE PLAN and
FY 2015 ANNUAL PERFORMANCE REPORT**

Fiscal Year 2017 Budget Request

CONTENTS

NARA Mission, Vision, and Goals

The National Archives and Records Administration (NARA) established agency-wide Strategic Goals and objectives in the FY 2014-2018 NARA Strategic Plan. NARA's Strategic Plan details the actions and outcomes necessary to meet agency Strategic Goals. NARA's Annual Performance Plan and Report lists the performance goals and measures that NARA uses to evaluate performance and reports progress against those goals.

VISION:

WE WILL BE KNOWN FOR CUTTING-EDGE ACCESS
TO EXTRAORDINARY VOLUMES OF GOVERNMENT INFORMATION AND
UNPRECEDENTED ENGAGEMENT TO BRING GREATER MEANING TO THE AMERICAN EXPERIENCE.

MISSION:

WE DRIVE OPENNESS, CULTIVATE PUBLIC PARTICIPATION, AND STRENGTHEN OUR NATION'S
DEMOCRACY THROUGH PUBLIC ACCESS TO HIGH-VALUE GOVERNMENT RECORDS.

STRATEGIC GOALS:

MAKE ACCESS HAPPEN.—NARA will make all records available to the public in digital formats, to ensure that anyone can explore, discover, and learn from NARA holdings.

CONNECT WITH CUSTOMERS.—NARA will improve internal and external customer engagement to cultivate and sustain public participation.

MAXIMIZE NARA'S VALUE TO THE NATION.—NARA will reform and modernize records management policies and practices within the Federal government to effectively support the transition to digital government. NARA will drive public and commercial re-use of historical government data and records to create measurable economic activity.

BUILD OUR FUTURE THROUGH OUR PEOPLE.—NARA will create and sustain a culture of empowerment, openness, and inclusion; and ensure that NARA has a diverse workforce with the skills necessary to fulfill the agency's mission.

The *President's Budget* identifies the lower-priority program activities as required by 31 U.S.C. 1115(b) (10). The public can access last year's volume at www.whitehouse.gov/omb/budget. NARA received no aid from non-Federal parties in preparing this plan.

Performance by Strategic Goal

Make Access Happen

NARA's core mission is to provide public access to the permanently-valuable records of the Federal government. *Make Access Happen* aligns NARA programs and resources to achieve public access as the ultimate outcome agency functions and activities. *Make Access Happen* also signals a significant shift in strategy and purpose: NARA will reach beyond the traditional role of making records available for others to discover, and will *make access happen* by providing flexible tools and accessible resources that promote public participation.

Strategic Objective: Make all records available to the public in digital form to ensure that anyone can explore, discover, and learn from NARA holdings

In order to provide online public access to *all* archival records, NARA must accelerate processing of analog and electronic records to extract the information necessary to search those records – particularly archival descriptions – and increase the number of records that have been digitized and made available online.

Performance Goal #1: By FY 2016, 95 percent of NARA holdings will be described in the National Archives Catalog

Description of measure: Archival descriptions in the National Archives Catalog (NAC) provide the public with free, online access to information necessary to search NARA holdings remotely, discover relevant records, and quickly retrieve records when they visit NARA public research rooms. NARA measures performance as the total number of records or artifacts described in the NAC, as a percentage of the total records or artifacts at the start of the fiscal year.

Performance Measure	*Year*	*2012*	*2013*	*2014*	*2015*	*2016*	*2017*
Percent of artifacts described in the National Archives Catalog	*Target*	80	85	95	90	95	95
	Actual	88	95	95	97		
Percent of electronic archival holdings described in the National Archives Catalog	*Target*	80	85	85	90	95	95
	Actual	87	93	96	97		
Percent of traditional archival holdings described in the National Archives Catalog	*Target*	80	85	85	90	95	95
	Actual	81	83	86	90		

Performance summary: NARA met the FY 2015 description goal for traditional (non-electronic) archival records described in NAC, increasing descriptions to 90 percent. NARA's goal is to have 95 percent of traditional archival holdings described by the end of FY 2016 and maintain that level throughout FY 2017. NARA has already exceeded its FY 2015 and FY 2016 targets for archival description of artifacts and electronic records.

In FY 2017, NARA will collaborate with selected agencies to prepare archival descriptions (metadata) for electronic records prior to their transfer to NARA. After transfer, NARA will use an automated review process to verify metadata, instead of creating new descriptions. If successful this new process is expected to accelerate archival processing and allow NARA to maintain description goals even as the volume of electronic records transferred grows exponentially.

Performance Goal #2: By FY 2018, increase the percentage of our holdings processed

Description of measure: Archival processing refers to those actions NARA must take in order to provide efficient access for researchers and members of the public, including: cataloging and description, basic preservation, and adding the records to NARA's inventory control system. For Presidential records, processing also includes the resolution of any restrictions on access, including declassification and Presidential review; with all other records, processing only includes the identification of these or other access restrictions. NARA measures processing as the weighted average of the percentage processed for archival and Presidential records, where percent processed is the total number of traditional (non-electronic) records processed to date, as a percentage of total records at the end of the reporting period.

Performance Measure	*Year*	*2012*	*2013*	*2014*	*2015*	*2016*	*2017*
Percent of archival holdings processed	*Target*	60	65	67	70	70	70
	Actual	60	65	68	72		

Performance summary: NARA exceeded its processing goal in FY 2015, finishing the year with 72 percent of the archival records processed up from 68 percent in FY 2014. NARA added more than 117,000 cubic feet of new, unprocessed records, processed nearly 151,000 cubic feet of records, and ended the year with slightly less than 1.3 million cubic feet of unprocessed records. NARA will continue to focus management attention on processing and seek ways to improve agency processes to expedite the release of archival records to the public.

In FY 2017, NARA will continue development of the next-generation Electronic Records Archives (ERA 2.0). ERA 2.0 will include new workflows and tools to speed the transfer of electronic records to NARA custody and accelerate processing of born-electronic and digitized copies of traditional records.

Performance Goal #3: Increase the percentage of our holdings available online

Description of measure: NARA has committed to digitize all of its traditional holdings, to make them available to the public online. NARA digitizes records through agreements with private sector partners, an in-house digitization lab, and through volunteers. NARA measures digitization as the number of cubic feet of traditional archival records that have digital copies available online through the NAC, as a percentage of total cubic feet of traditional archival holdings.

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of traditional holdings digitized and made available online	*Target*	—	—	—	—	Baseline	TBD
	Actual	—	—	1.2			

Summary of performance: NARA currently provides online public access to digitized copies of over two million records through the NAC. In FY 2015, NARA established a Digitization Governance Board to prioritize projects for digitization by NARA's in-house digitization labs, and has solicited project suggestions internally and from the public. NARA also initiated a number of pilot digitization projects to improve work processes and policies to facilitate the receipt of digital images from contributors for inclusion in the NAC.

NARA's newly-formed Digitization Governance Board will develop out-year digitization targets in FY 2016. NARA will also establish technical guidance for metadata and new information systems to support the transfer of digital objects from agencies.

Connect with Customers

Connect with Customers reflects NARA's commitment to continuously improve customer service, cultivate public participation, understand the impact of external factors, and generate new understanding of the importance of records in a democracy. NARA will continuously engage with and learn from its customers while building long-term, positive, effective relationships, and provide a consistent customer experience across programs, platforms and locations. NARA will be an exemplary culture of open government.

Strategic Objective: Improve internal and external customer engagement to cultivate and sustain public participation

NARA will meet or exceed customer service standards; improve agency processes to make them more efficient, and increase collaboration and participation with agency stakeholders to facilitate access to NARA records, programs and facilities.

Performance Goal #1: Increase customer satisfaction and promote positive experiences by making processes more efficient

Description of the measure: Customer satisfaction is achieved by providing consistent, reliable, and reputable service that increases customer engagement and encourages customers to seek NARA as their preferred destination for authentic sources of information. NARA measures customer satisfaction with customer surveys and through measures of meeting customer service response time standards within specified timeframes.

Performance Measure	*Year*	*2012*	*2013*	*2014*	*2015*	*2016*	*2017*
Percent of DD-214 / separation requests answered w/in 10 work days	*Target*	—	—	95	95	90	90
	Actual	92	95	94	93		
Percent of Federal agency reference requests ready within the promised time	*Target*	98	95	—	95	95	95
	Actual	95	95	92	97		
Percent of customers satisfied with military records received from NPRC	*Target*	88	90	87	88	88	88
	Actual	90	86	86	80		
Percent of FOIA requests for Federal records answered within 20 work days	*Target*	89	90	85	85	TBD	TBD
	Actual	84	83	77	78		
Percent of archival written requests answered within 10 work days (all NARA)	*Target*	—	—	—	80	80	80
	Actual	79	79	76	77		

Performance Measure	*Year*	*2012*	*2013*	*2014*	*2015*	*2016*	*2017*
Percent of non-archival written requests answered w/in 10 work days (all NARA)	*Target*	—	—	—	65	65	65
	Actual	74	67	65	58		
Percent of items furnished within agreed upon delivery time	*Target*	95	95	—	—	95	95
	Actual	98	98	97	96		

Performance Summary: NARA did not meet its timeliness goal for responding to military separation requests. The National Personnel Records Center (NPRC) receives approximately 2,250 requests for military separation records each day, and responded to 93 percent of those requests on time. NARA has reduced the target for future years to reflect fluctuations in staff and NARA efforts to increase the quality and accuracy of responses.

There was a six percent decline in customer satisfaction with the retrieval of military records from the NPRC. The decline in performance from FY 2014 is attributed to NARA's focus on accuracy and resolving the oldest and most complicated pending requests. This resulted in more accurate but less timely responses. In FY 2016, NARA will continue to aggressively reduce the request backlog with the expectation that this will have a positive impact on FY 2017 results.

NARA did not meet its target to answer Freedom of Information Act (FOIA) requests for Federal records in 20 working days in FY 2015, but agency performance improved from FY 2014 levels. NARA responds to FOIA requests for its own operational records as well as requests for access to NARA's holdings. The volume of FOIA requests received by NARA in FY 2014 and FY 2015 is nearly double the volume received in the previous two years with 22,000 FOIA requests received during FY 2015. A significant portion of the increase is attributable to FOIA requests from private sector companies seeking verification of military service to pursue Work Opportunity Tax Credits. NARA has identified several procedural improvements and expects performance to rebound during FY 2016 and stabilize in FY 2017.

Performance Goal #2: Promote collaboration and participation among NARA stakeholders and customer groups

Description of measure: NARA engages with stakeholders through public programs, online tools and services, and by soliciting public participation in agency initiatives. NARA measures public use of agency resources and participation levels to understand the breadth of agency engagement with customers and the public.

Performance Measure	*Year*	*2012*	*2013*	*2014*	*2015*	*2016*	*2017*
Number of public program attendees, excluding education	*Target*	—	—	—	—	—	—
	Actual	369K	470K	309K	386K		
Number of education program attendees	*Target*	—	—	—	—	—	—
	Actual	310K	324K	299K	549K		
Number of researcher visits	*Target*	—	—	—	—	—	—
	Actual	123K	114K	104K	86K		
Number of visits to NARA websites	*Target*	—	—	—	—	—	—
	Actual	44M	50M	57M	61M		
Number of physical visits to museums and exhibitions	*Target*	—	—	—	—	—	—
	Actual	3.1M	3.1M	3.3M	3.5M		

Performance summary: NARA expanded use of public participation and crowd-sourcing tools to improve public access and engagement. This year's release of the National Archives catalog creates opportunities for the public to participate and directly engage with our records by contributing tags to records and assisting in transcribing digital images. In FY 2017, NARA will enhance digital access and identify opportunities for the public to participate in helping make more of the Federal government's permanent records available through digital access.

Also, this year, NARA led an initiative focused on *creating a unified national outreach program that engages diverse audiences in learning about government records and inspires active participation in America's democratic process.* This initiative strengthens both collaboration and coordination in education initiatives, exhibits, and public programming, bringing together the National Archives Museum, our Presidential Libraries, and our field offices in a nationwide program. In FY 2017, NARA will continue to deliver programs across the agency driven by common civic literacy and engagement goals. NARA will continue to monitor participation levels in agency public and education programs—both physical and online—to ensure that efforts to engage the public are realized.

NARA has made progress on its initiative to develop a *virtual regulatory environment to increase transparency and expand public participation in the Federal rule-making process.* NARA's *Federal Register* is a daily publication that informs the public of Executive branch agency actions and gives the public the opportunity to comment on those actions. NARA is working in cooperation with EPA and GPO to improve the customers' experience. In FY 2017, NARA will work with GPO to update the electronic Code of Federal Regulations (eCFR) platform to increase customers' ease of use and provide additional capability where users can compare snapshots of the CFR at different points in time.

Maximize NARA's Value to the Nation

Maximize NARA's Value to the Nation recognizes public access to government information creates measurable economic value, which adds to the enduring cultural and historical value of NARA records. NARA will continue to be an effective steward of the government resources that it holds in trust and will constantly strive to be a responsive, twenty-first century government agency.   NARA strives to achieve greater efficiency and effectiveness in all agency operations and ensure institutional sustainability.

Strategic Objective: Reform and modernize records management policies and practices within the Federal government to effectively support the transition to a digital government

NARA is the lead agency in implementing the government-wide goals of OMB Memorandum M-12-18, *Managing Government Records Directive*. NARA must provide Federal agencies with the policy, guidance, and training necessary to appropriately manage records in the custody of those agencies. NARA must also provide its stakeholders with reasonable and independent assurance that those agencies are complying with relevant laws and regulations.

Performance Goal #1: By 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format

Description of measure: OMB Memorandum M-12-18, *Managing Government Records Directive*, requires agencies to manage email records electronically by December 31, 2016. NARA will develop criteria for agencies to determine whether they are managing their email electronically. NARA is developing metrics to report on the percent of agencies that expect to meet the criteria by the deadline and those that report they meet the criteria once the deadline is reached.

Performance summary: NARA has invested considerable effort towards meeting the M-12-18 goal to *stimulate investigation of applied research in automated technologies to reduce the burden of records management responsibilities.* NARA is developing an environment where Federal agencies have competitive options for commercial shared services that comply with Federal records management requirements and are consistent with NARA's archival business needs. In FY 2017, NARA's Records Management Line of Business (RM LOB) project office will work with agencies and the vendor community to develop minimum requirements for commercial or agency-supplied electronic records management services.

Performance Goal #2: By 2019, Federal agencies will manage all permanent electronic records in an electronic format

Description of measure: OMB Memorandum M-12-18 requires agencies to manage all permanent electronic records electronically by December 31, 2019. NARA is developing measures of the percent of agencies that expect to meet the criteria for managing their

permanent records in an electronic format. NARA currently measures risk to records management programs based on an evaluation of agency responses to the annual Records Management Self-Assessment (RMSA) survey.

Performance Measure	*Year*	*2012*	*2013*	*2014*	*2015*	*2016*	*2017*
Percent of agencies with "low risk" RMSA ratings	*Target*	—	—	>20	>29	>34	TBD
	Actual	10	20	29	34		

Performance summary: The percent of Federal agencies with records management programs rated as "low risk" continues to increase. NARA determines this rating based on the RMSA survey completed by agencies each year. NARA uses the survey results to identify agency records management programs that are low, medium, or high risk and understand what areas of government-wide records management need to be strengthened. As agencies continue to implement the requirements of M-12-18, NARA expects to see an increase in the percent of agencies whose records management programs are at low risk.

Strategic Objective: Drive public and commercial use and re-use of NARA records to create measurable economic activity

NARA collaborates with stakeholder, the public, and private organizations to make historical records available to the public. NARA will maximize the volume of records available in an open format, where they can be used and read by the public, software application developers, and commercial entities.

Performance Goal #1: Increase the public and commercial use or re-use of NARA records

Description of measure: NARA is currently developing metrics to capture the percentage of archival electronic records that have been transformed into a machine-readable, open format.

Performance summary: NARA's primary initiative under this goal is to *provide direct access to record data in machine readable forms to allow efficient use of NARA data.* NARA supports the White House Digital Government Strategy that directs agencies to make high value data and content in customer-facing systems available through a web application programming interface (API). In FY 2015, NARA launched an API for the National Archives Catalog which will serve to extend online, archival content to other platforms and organizations, increasing access to NARA holdings. In FY 2017, NARA will continue to transform archival records series to open, digital formats and make them available for download through the National Archives Catalog.

Build our Future through our People

Build our Future through our People is NARA's commitment to provide a workplace that fosters trust, accepts risk, and rewards collaboration. NARA has an opportunity to "become more" – to find ways to be better at our jobs, smarter in our work, savvier in our decisions, and bolder in our commitment to leading the archival and information professions. NARA will build a modern and engaged workforce, develop the next generation of leaders, and encourage employees to collaborate, innovate, and learn.

Strategic Objective: Create and sustain a culture of empowerment, openness, and inclusion

NARA is dedicated to providing a trusting and collaborative workplace that accepts risk, encourages open communication, and ensures that all employees have opportunities to achieve their full potential.   NARA is investing in its workforce to create leaders at all levels, maintain the functional expertise required for mission, and enable employees to take advantage of career growth opportunities.

Performance Goal #1: Expand participation in Learning and Development activities

Description of measure: NARA promotes continuous learning by all employees – especially managers and supervisors – as a best practice for improving employee satisfaction and agency performance. NARA measures performance as the total number of managers and supervisors participating in leadership training programs as a percentage of the total number of NARA managers and supervisors. NARA measures participants' level of satisfaction through course surveys.

Performance Measure	*Year*	*2012*	*2013*	*2014*	*2015*	*2016*	*2017*
Percent of managers and supervisors participating in leadership training programs	*Target*	—	—	—	Baseline	70	75
	Actual	—	—	—	TBD		
Percent of learning events receiving satisfactory rating from participants	*Target*	—	—	—	90	90	90
	Actual	—	—	—	90		

Performance summary: NARA's initiative to *foster an employee development culture to promote learning and leadership by all* is building a strategic learning and development program focusing on leadership development, functional expertise, and career growth for all employees. In FY 2016 and FY 2017, NARA will implement "NARA University", an online tool to deliver core professional development programs, as well as leadership and management training. NARA will develop tools to assist employees in creating their own learning and career development plans to include training, education, and on-the-job development mapped to core competencies and skill needs.

Performance Goal #2: Expand and enhance communication activities to effectively inform NARA's workforce

Description of measure: NARA measures the effectiveness of internal communication based on agency results from the Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS) and NARA's own internal customer survey. Employees are asked a set of questions on a variety of topics, including their level of satisfaction with internal communication.

Performance Measure	*Year*	*2012*	*2013*	*2014*	*2015*	*2016*	*2017*
NARA FEVS scores on questions related to internal communications	*Target*	—	—	>49	>50	>50	>50
	Actual	49	50	50			
Communication effectiveness score from internal Customer Satisfaction Survey	*Target*	—	—	—	Baseline	67	70
	Actual	—	—	61	64		

Performance summary: NARA's initiative to *cultivate a robust, well-connected internal communications environment to support informed action at all levels* focuses Management attention on employee engagement and information sharing. In FY 2015, NARA piloted a digital signage project to more effectively communicate a consistent message across the agency. NARA will fully implement digital signage across all NARA facilities in FY 2016. In FY 2016, NARA will provide policy, guidance, and training to reinforce the role of the supervisor as the first line of communication for employees. In FY 2017, NARA will provide mobile access to the Internal Collaboration Network (ICN), NARA's social media application for employee communications through structured and unstructured conversations.

Strategic Objective: Ensure a diverse workforce with skills necessary to fulfill our mission

Our ability to recruit, sustain, and retain a twenty-first century workforce is essential to achieving mission success both now and in the future. NARA is implementing innovative practices to ensure the workforce has the skills and competencies to fulfill the mission; managers and supervisors have the tools they need to effectively manage the workforce; and employees have a work environment where they can be productive and excel.

Performance Goal #1: Improve the quality and speed of the hiring process

Description of Measure: NARA must have an effective hiring process in order to reach the best talent in a competitive market. NARA measures performance using the 80-day "time to hire" Federal standard starting from the hiring manager's initial request to fill a vacancy to the employee's start date.

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent positive responses to FEVS questions related to diversity and inclusion	Target	—	—	—	56	>56	>56
	Actual	52	51	52	56		
Positive responses to FEVS question about opportunities to get a better job	Target	—	—	—	24	>29	>29
	Actual	25	24	24	29		
Percent of NARA positions filled in 80 days	Target	—	—	—	50	43	50
	Actual	—	—	42	45		

Performance summary: NARA met or exceeded its FY 2015 goals for employee empowerment and diversity, as measured by employee responses in the annual FEVS. NARA relies on OPM's annual Federal Employee Viewpoint Survey (FEVS), to understand employee perceptions of the agency. In FY 2015, NARA realized increased positive responses over FY 2014 results in 90 percent of FEVS questions, and 35 percent of responses increased by five percentage points or more.

In FY 2015, NARA did not meet its goals for hiring process cycle time. Only 45 percent of NARA hiring actions were completed within OPM's target of 80 days. In FY 2016, NARA will address known issues in the hiring process and improve communications from staffing personnel to hiring managers. NARA is taking coordinated actions in FY 2016 to resolve engagement, innovation, and empowerment gaps at all levels of the organization, strengthen employee performance management program, and promote agency wellness and work-life programs. .

Performance Highlights

The following table displays key measures and FY 2015 results by NARA organization.

	Researcher Visits	Written Requests	Public Program Attendees	Exhibit / Museum Visitors	Online Visits (millions)
National Archives at Atlanta, GA	3,040	1,866	3,327	0	--
National Archives at Boston, MA	1,333	1,960	778	0	--
National Archives at Chicago, IL	1,445	2,600	721	0	--
National Archives at College Park, MD	38,576	20,550	259	0	29.4
National Archives at Denver, CO	2,077	855	0	0	--
National Archives at Fort Worth, TX	3,157	1,844	9,630	0	--
National Archives at Kansas City, MO	2,204	3,528	5,192	2,068	--
National Archives at New York, NY	5,068	2,721	11,906	812	--
National Archives at Philadelphia, PA	361	933	2,854	21,842	--
National Archives at Riverside, CA	1,470	1,481	0	0	--
National Archives at St. Louis, MO	3,280	98,199	0	0	--
National Archives at San Francisco, CA	1,776	1,266	0	0	--
National Archives at Seattle, WA	1,639	1,221	1,012	0	--
National Archives in Washington, DC	9,837	6,567	44,478	1,329,757	0.8
National Personnel Records Center	--	1,086,529	--	--	--
Federal Register	--	1,559	0	--	463.7
Legislative Archives	--	666	--	--	--
Nationwide Records Mgmt Training	--	--	4,323	--	--
Subtotal	*75,263*	*1,234,345*	*84,480*	*1,354,479*	*493.9*
Herbert Hoover Presidential Library	404	906	8,024	41,818	0.2
Franklin D. Roosevelt Presidential Library	898	2,109	30,112	191,750	0.9
Harry S. Truman Presidential Library	536	2,189	38,138	70,967	3.0
Dwight D. Eisenhower Presidential Library	1,185	2,966	21,026	182,621	1.3
John F. Kennedy Presidential Library	1,112	5,194	51,062	192,243	5.2
Lyndon Johnson Presidential Library	1,657	2,596	21,009	173,815	2.3
Richard Nixon Presidential Library	1,311	1,587	16,916	83,373	11.1
Gerald Ford Presidential Library	674	719	21,308	175,220	1.6
Jimmy Carter Presidential Library	682	707	9,519	54,462	0.9
Ronald Reagan Presidential Library	857	508	73,756	341,216	2.2
George Bush Presidential Library	634	1,519	352,308	146,815	0.4
William J. Clinton Presidential Library	290	1,443	241,158	210,245	0.9
George W. Bush Presidential Library	76	352	3,294	300,333	1.7
Subtotal, Presidential Libraries	*10,316*	*22,795*	*887,630*	*2,164,878*	*31.7*
GRAND TOTAL	85,579	1,257,140	972,110	3,519,357	525.6

Federal Records Management Programs

This section reports on the annual results of NARA records management activities. This section is provided to comply with the reporting requirements provided in 44 U.S.C 2904(c)(8).

Managing Government Records Directive / Policy and Guidance

The *Managing Government Records Directive (OMB Memorandum M-12-18)* establishes government-wide goals and objectives to modernize the management of government records and reform records management policies and practices in the Executive branch of the Federal Government.

Agencies are making progress towards meeting the M-12-18 goal of addressing the management of all email in an accessible format by the end of 2016. Email management has become a visible, important priority for agencies. Senior Agency Officials (SAOs) for records management have held awareness briefings with agency heads on the importance of properly managing email in personal accounts. Agencies are also working to improve records management training, especially ensuring that all agency Records Officers have been through NARA's records management certification training program.

Other selected milestones that NARA reached in records management throughout FY 2015 include:

- *NARA Bulletin 2015-04, Metadata Guidance for the Transfer of Permanent Electronic Records (September 2015).*—This Bulletin defines the minimum set of metadata elements that must accompany transfers of permanent electronic records to the National Archives.

- *NARA Bulletin 2015-03, Guidance on Managing Digital Identity Authentication Records (August 2015).*—This Bulletin provides guidance to agencies on managing digital identity authentication related transactional records, such as digital certificates and Public Key Infrastructure (PKI) files, created or used in the course of agency business.

- *NARA Bulletin 2015-02, Guidance on Managing Electronic Messages (July 2015).*—This Bulletin applies to text messaging, chat/instant messaging, messaging functionality in social media tools or apps, voice messaging, and similar forms of electronic messaging systems.

- *NARA Bulletin 2015-01, Scheduling Guidance on the Appropriate Age for Legal Transfer of Permanent Records to the National Archives of the United States (June 2015).*—This Bulletin clarifies the appropriate age at which permanent records, regardless of their media or format, should be transferred into NARA's legal custody.

- *OPM Released Final Records Management Occupation Flysheet (April 2015).*—OPM created a new occupational series for records and information management, to elevate the roles, responsibilities, and skill sets for agency records officers and other records and information professionals. The task of establishing the occupational series was an important target in M-12-18.

- *Records Management Maturity Model (April 2015).*—NARA and the Federal Records Council identified the Records Management Maturity Model as a government-wide analytical tool to help agencies evaluate the effectiveness of their records programs, as required by M-12-18.

- *Open Source Tools for Records Management (March 2015).*—NARA identified open source tools that could be used for records management tasks, to further the objective of M-12-18, which encourages NARA, agencies, and stakeholders to investigate and stimulate applied research in automated technologies to reduce the burden of records management responsibilities in agencies.

Records Scheduling and Appraisal

- *Capstone Approach.*—In FY 2015, NARA issued General Records Schedule (GRS) 6.1, Email Managed under a Capstone Approach, to provide disposition authority for agencies implementing a Capstone approach to email management. The Capstone Approach – established in NARA Bulletin 2013-02, *Guidance on a New Approach to Managing Email Records* – allows agencies to manage email records as a single records series with disposition instructions generally applied at the account level based on role or position. The new GRS supports NARA's oversight responsibilities by reducing subjectivity and increasing consistency in the determination of Capstone officials. The GRS also establishes a baseline understanding of roles and disposition of email across the government and reduces the risk of improper implementation. An external training module for Federal agencies on this GRS was released in October 2015.

- *Other General Records Schedules.*—NARA also issued GRS Transmittal 24, which included five new GRS, and GRS Transmittal 25, which added the GRS for email managed under Capstone approach. The transmittals also included general FAQs, schedule specific FAQs, and an implementation guide.

- *Records Scheduling Backlog Project.*—NARA has focused resources on reducing record schedules that have been submitted more than two years prior ("backlog schedules"). Current backlog numbers were down to less than 60 at the start of the fiscal year. In FY 2016, NARA will complete a pilot project testing expedited scheduling for clearly temporary records, based on the low potential research and other value of these records.

Records Management Oversight

- *Agency Records Management Self-Assessments.*—NARA gathers information on Federal agencies' records management programs and activities through the annual agency Records Management Self-Assessment (RMSA) is an effective way for. Federal agencies self-report data about their records management policies and practices and compliance with Federal records management regulations and NARA guidance.

  In FY 2015, NARA issued the RMSA to 266 Federal agencies to report on records management activities occurring or completed in FY 2014. The resulting RMSA 2014 report, released on November 6, 2015, identified gradual improvement in RMSA scores across Federal agencies, which reflects an increasing understanding within agencies of the importance of recordkeeping requirements. NARA RMSA reports can be found at http://www.archives.gov/records-mgmt/resources/self-assessment.html.

- *Records Management Inspections.*—NARA inspects the records management programs of Federal agencies for under the authority of 44 U.S.C 2904(c) (7) and 2906. In FY 2015, NARA completed inspections of the Internal Revenue Service, the Department of Energy, and the Department of the Treasury. Highlights and summaries are provided below. (NARA's complete inspection reports for these and previous inspections are available at: http://www.archives.gov/records-mgmt/resources/inspections.html). NARA also started a fourth inspection of the Department of the Navy to be completed in FY 2016.

  – Internal Revenue Service. The Consolidated and Further Continuing Appropriations Act of 2015 directed NARA to conduct an inspection of the Internal Revenue Service's (IRS) compliance with the Federal Record Act, during calendar years 2009 through 2013. In addition to the parameters specified by Congress, NARA also examined IRS policies and procedures pertaining to the management of email; electronic records; records scheduling and implementation; and the identification, risk assessment, and transfer of permanent records. The inspection has since been completed and the report has been published to NARA's website.

  – Department of Energy. NARA examined the methods the Department of Energy (DOE) and its component agencies use to plan, communicate, and implement effective records management practices. NARA examined DOE controls to mitigate the risks to its records and to ensure that agency policies and procedures are implemented. DOE is a large, complex department, whose records are essential for government accountability for nuclear weapons safety, scientific research and development, and for overseeing the Nation's energy programs; therefore there is high public interest in the agency and the records it creates. The inspection has been completed and the report has been published to NARA's website.

– <u>Department of the Treasury.</u> NARA examined the methods the Treasury Department and its component agencies develop and implement records management practices . NARA focused specifically on the records management policies, procedures, and practices at the Department level and their impact on component agencies. The Department of Treasury enhances national security by implementing economic sanctions against foreign threats to the United States, identifying and targeting the financial support networks of national security threats, and improving the safeguards of our financial systems; therefore, there is high public interest in the Department and the records it creates. The inspection report is being drafted and should be published early in calendar year 2016.

- *Monitoring and follow-up.*—After all inspections, NARA works agencies to prepare corrective action plans with measurable milestones. NARA monitors progress against agency plans until all actions are completed. NARA is currently monitoring a combined total of 105 action items in corrective action plans for National Geospatial-Intelligence Agency (NGA); Office of the Secretary of Defense (OSD); Department of Homeland Security's Citizenship and Immigration Services (USCIS) and Immigration Customs Enforcement (ICE) bureaus; National Nuclear Security Administration (NNSA); Nuclear Regulatory Commission (NRC), and the Internal Revenue Service (IRS). NARA is also assisting the National Transportation Safety Board (NTSB) with the creation of their corrective action plan and will begin monitoring progress in FY 2016.

Records Management Training

In FY 2015, NARA conducted 211 records management training courses including 40 online sessions and trained over 4,900 individuals in records management policy and practices. NARA's National Records Management Training program awarded 559 Certificates in Federal Records Management Training to Federal agency customers.

In FY 2015, NARA and the Federal Records Officer Network jointly developed an eLearning course titled "Records Management 101" to meet M-12-18 goals Additionally, NARA developed eLearning courses for the Consumer Finance Protection Bureau, supported the Records and Information Management Training Program at Haskell University, published videos to help agencies learn to use the Electronic Records Archive, published new videos of "The Case for Records Management: Issues for Federal Agency Counsel," and updated course materials for the Knowledge Area 1-6 courses.

Also in FY 2015, NARA began a series of projects to continue modernization of the training program, including: collecting training needs from other agencies' personnel that perform records management; 2categorizing learning content based on the type of knowledge (fact, concept, process, principle, procedure); and analyzing data from the past three years of course evaluations to identify trends. All three of projects will feed into a major curriculum redesign that will begin in FY 2016.

Alleged Unauthorized Disposition of Federal Records

Under 44 USC 3106, Federal agencies are required to notify NARA of any alleged unauthorized disposition of the agency's records. NARA also receives notifications from other sources such as the news media and private citizens. NARA establishes a case to track each allegation and communicates with the agency until the issue is resolved.

Of the 52 cases open at the end of FY 2015, four cases are involved in ongoing litigation and three cases are under investigation by the agency. The remaining 45 cases open at the end of FY 2015 are listed in Table 1, below. Table 2 lists the 16 cases that were closed in FY 2015.

Table 1: Open cases pending agency action or NARA review

Department or Agency	Opened	Records	Status
Agriculture	Aug. 2015	U.S. Forest Service Wilderness maps	Pending NARA review
Army, Office of Deputy Chief of Staff for Operations and Plans	Aug. 1998	Records of action officers	Pending agency response or follow-up
Consumer Product Safety Commission	June 2015	Employee text messages	Pending agency response or follow-up
Defense, DoD Inspector General	June 2015	Records relating to investigation of whistleblower	Pending NARA review
Defense, Joint Staff	Dec. 2011	Emails of Lt. General Stanley McChrystal	Pending agency response or follow-up
	Sept. 2015	NORTHCOM email	Pending NARA review
Defense, National Geospatial-Intelligence Agency	May 2015	Executive Office records	Pending agency response or follow-up
Defense, Office of Secretary of Defense	Dec. 2008	Documents relating to torture issue	Pending agency response or follow-up
	Nov. 2009	E-mail and electronic records of Coalition Provisional Authority, Iraq	Pending NARA review
Energy	Dec. 2010	Oil shale research records	Pending NARA review
	April 2011	Records relating to Yucca Mountain site	Pending agency response or follow-up
	Sept. 2012	Use of personal email for official business	Pending agency response or follow-up
Energy	Aug. 2014	NNSA Los Alamos National Laboratory records	Pending agency response or follow-up

Department or Agency	Opened	Records	Status
Environmental Protection Agency	Aug. 2015	Email in personal account of former employee	Pending agency response or follow-up
General Services Administration	Sept. 2015	Email and voicemail about Army Childcare Subsidy Program	Pending agency response or follow-up
Homeland Security	April 2011	Water-damaged records of Office of Intelligence & Analysis	Pending agency response or follow-up
	April 2011	FEMA Remedial Action Management Program records	Pending agency response or follow-up
	Oct. 2012	Emails relating to FEMA grant funds	Pending agency response or follow-up
	March 2015	U.S. Secret Service Surveillance video	Pending agency response or follow-up
Interior	April 1999	Office of the Solicitor, Indian trust account records *	Pending NARA review
	March 2010	Office of Special Trustee for American Indians records at agency locations in western U. S.	Pending agency response or follow-up
	March 2015	Office of Special Trustee for American Indians real estate appraisal case file	Pending NARA review
	June 2015	Loss of email due to software deficiency	Pending agency response or follow-up
Justice	July 1999	Executive Office of U.S. Attorneys records relating to case Harry C. Piper III v. Dept. of Justice *	Pending NARA review
	Feb. 2014	FBI unspecified case files	Pending agency response or follow-up
Merit Systems Protection Board	July 2015	Electronic records in internal computer system	Pending agency response or follow-up
Navy	Aug. 2006	USMC Records relating to 2005 incident in Haditha, Iraq	Pending NARA review

Department or Agency	Opened	Records	Status
Navy	Dec. 2011	USMC interrogations relating to 2005 incident in Haditha, Iraq	Pending NARA review
	July 2013	Ship plans and blueprints	Pending agency response or follow-up
	Mar. 2015	Submarine reports	Pending NARA review
Office of Personnel Management	Oct. 2011	Electronic records relating to USAStaffing system	Pending NARA Review
Peace Corps	Feb. 2013	High-level officials' daily activity schedules	Pending agency response or follow-up
Railroad Retirement Board	June 2015	Electronic records in IronKey devices	Pending NARA review
State	Mar. 2015	Emails of Secretary Hillary Clinton	Pending agency response or follow-up
	June 2015	Microfilm of passport index	Pending NARA review
	Sept. 2015	Records at Embassy in Tokyo, Japan	Pending agency response or follow-up
Treasury	Dec. 1999	Indian trust account records*	Pending NARA review
	Feb. 2001	Indian trust account records at Denver, CO Federal Reserve Bank *	Pending NARA review
	Sept. 2014	IRS Form 3413 Transfer Requests	Pending NARA review
U.S. Agency for International Development	May 2015	Emails at ca. 20 overseas missions	Pending agency response or follow-up
	July 2015	Electronic records of Haiti Mission	Pending agency response or follow-up
U.S. Chemical Safety and Hazard Investigation Board	Mar. 2015	Use of non-government email for official business	Pending NARA review
Veterans Affairs	June 2013	Loan and grant files	Pending NARA review
	May 2015	Hospital patient records in Long Beach, California	Pending NARA review
	June 2015	Loan guaranty files at Cleveland Regional Office	Pending agency response or follow-up

* Indicates cases that were not listed in previous years' reports because they were in litigation.

Table 2: Cases closed in FY 2015

Department or Agency	Opened	Records	Resolution
Army	Jan. 2015	Files in Army Electronic Archive (AEA)	Allegation founded – corrective action taken
Defense	May 2008	DIA video recordings of interrogations of terrorism suspect	Allegation founded – corrective action taken
	Sept. 2012	U.S. Central Command records of fuel supply and delivery in Afghanistan	Allegation founded – corrective action taken
	Sept. 2014	Records of former NDU President	Allegation not founded
Environmental Protection Agency	June 2014	Region 10 email relating to Bristol Bay, Alaska, matter	Allegation founded – corrective action taken
	Oct. 2014	Administrator's text messages	Allegation not founded
	Nov. 2014	Inspection enforcement notebook	Allegation founded – corrective action taken
Health and Human Services	Feb. 2011	Emails of Secretary Kathleen Sebelius *	Allegation not founded
	Jan 2015	Photographs of Secretary Tommy Thompson	Allegation founded – corrective action taken
Homeland Security	Sept. 2014	Surveillance video of FEMA facility	Allegation not founded
	Sept. 2014	FEMA surveillance video and employee's email	Allegation not founded
Interior	Jan. 2014	USGS records at Astrogeology Science Center, Flagstaff, Arizona	Allegation not founded
Justice	July 2008	Copies of intern applicant files *	Allegation not founded
Labor	Dec. 2014	MSHA abandoned mine maps	Allegation not founded
Library of Congress	Oct. 2014	Non-occupational health record files	Allegation founded – corrective action taken
Peace Corps	June 2015	Records requested from Washington National Records Center	Allegation founded – corrective action taken

* Indicates cases that were not listed in previous years' reports because they were in litigation.

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