
National Archives and Records Administration



NATIONAL
ARCHIVES

FY 2021

CONGRESSIONAL JUSTIFICATION

February 10, 2020

National Archives and Records Administration

SUMMARY of the FY 2021 REQUEST

Fiscal Year 2021 Budget Request

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Summary of the Request

The FY 2021 budget of the National Archives and Records Administration (NARA) requests \$367.3 million in discretionary appropriations. This is a decrease of -\$10.6 million from the FY 2020 enacted level. Within the aggregate request, NARA requests \$357 million for the Operating Expenses appropriation, \$5.3 million for the NARA Office of Inspector General, and \$5 million for the Repairs and Restoration of NARA-owned buildings. NARA's request for Operating Expenses includes \$348 million in one-year funding and \$9 million to be available until expended. NARA is not requesting appropriations for the National Historical Publications and Records Commission (NHPRC) Grants Program.

Appropriations Request

(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request	change from FY 2020
Operating Expenses	\$ 373,000	\$ 359,000	\$ 356,954	-2,046
Office of Inspector General	4,823	4,823	5,300	+477
Repairs and Restoration	7,500	7,500	5,000	-2,500
NHPRC Grants Program	6,000	6,500	0	-6,500
Total Appropriations Request	\$ 391,323	\$ 377,823	\$ 367,254	-10,569

NARA's request for Operating Expenses is a reduction of -\$2,046 thousand, which is the net of the following program increases and reductions:

- (1) An increase of \$5,476 thousand to provide for pay and personnel benefit adjustments inclusive of: the FY 2021 pay raise (1.0 percent), annualization of the FY 2020 pay raise (3.1 percent), an increase in the agency contribution rate to the Federal Employee Retirement System (FERS), and an increase to FY 2021 awards spending to an amount equal to 2.5 percent of annual salaries.
- (2) A reduction of -\$24,522 thousand from the following program decreases:
 - -\$14,770 thousand from non-recurring FY 2020 initiatives.
 - -\$12,770 thousand in reductions from non-recurring amounts requested in FY 2020 for the Electronic Records Initiative. Savings come from deferring planned expenditures for shelving, equipment moves, and new staff to support mass digitization.
 - -\$2,000 thousand for the non-recurring FY 2020 Civil Rights Cold Case Initiative.
 - -\$8,500 thousand from non-recurring FY 2019 initiatives. NARA received funds in FY 2019 for the preservation of archival electronic records and Cybersecurity. NARA will continue to fund the initiatives in FY 2020 and non-recur in FY 2021.

- -\$1,252 thousand in program efficiency savings.
- (3) An increase of \$17,000 thousand to provide for the following program increases:
- A program increase of \$16,000 thousand to improve veterans' access to their military records. Funding would provide military separation documents to all veterans and their families at no cost, and support veterans' access to records necessary to obtain veterans' benefits.
 - A program increase of \$1,000 thousand to support NARA's implementation planning and transition activities in support of the government-wide payroll and Work Schedule and Leave Management (WSLM) modernization initiative entitled NewPay.

NARA's request for the Office of Inspector General appropriation is an increase of \$477 thousand, which is the net of pay and benefits adjustments, an increase to FY 2021 awards spending to 2.5% of annual salaries, and to establish an independent E-mail and IT infrastructure - which is offset by an equal amount of program efficiency savings.

NARA's request for the Repairs and Restoration appropriation is a decrease of -\$2,500 thousand from the FY 2020 enacted level. This decrease is derived from a reduction in number and scope of building projects NARA will perform in FY 2021.

NARA does not request new funding for the NHPRC Grants Program appropriation, which is a reduction of -\$6,500 thousand from the FY 2020 enacted level.

National Archives and Records Administration
 Summary of the FY 2021 Request

Summary of Discretionary Budget Authority
 (Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request	change from FY 2020
Operating Expenses:				
Annual appropriation	\$ 373,000	\$ 335,000	\$ 347,724	+12,724
No-year appropriation	\$ 0	\$ 24,000	\$ 9,230	-14,770
<u>Redemption of debt</u>	<u>-27,224</u>	<u>0</u>	<u>0</u>	<u>+0</u>
Net budget authority.....	\$ 345,776	\$ 359,000	\$ 356,954	-2,046
Office of Inspector General	4,823	4,823	5,300	+477
Repairs and Restoration	7,500	7,500	5,000	-2,500
NHPRC Grants Program	6,000	6,500	0	-6,500
NARA Discretionary Budget Authority	\$ 364,099	\$ 377,823	\$ 367,254	-10,569

NARA's budget requests \$367 million in net budget authority for FY 2021, which is a reduction of -\$11 million from the FY 2020 enacted level. NARA's net budget authority excludes funding in the Operating Expenses appropriation for repayments of principal on debt held by the public to finance the construction of the National Archives building at College Park, MD. For FY 2021, this amount totals \$0 million. NARA completed repayment on this debt in FY 2019.

NARA Mission, Vision, and Goals

The vision, mission, and strategic goals established in the FY 2018 – FY 2022 NARA Strategic Plan confirm NARA's commitment to openness, transparency, and citizen engagement through public access to government records. NARA's strategic framework adds context and a higher purpose to NARA operations, drives increased coordination between NARA programs, and sets priorities for improved resource allocations.

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.

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.

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, and generate new understanding of the importance of records in a democracy.

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.

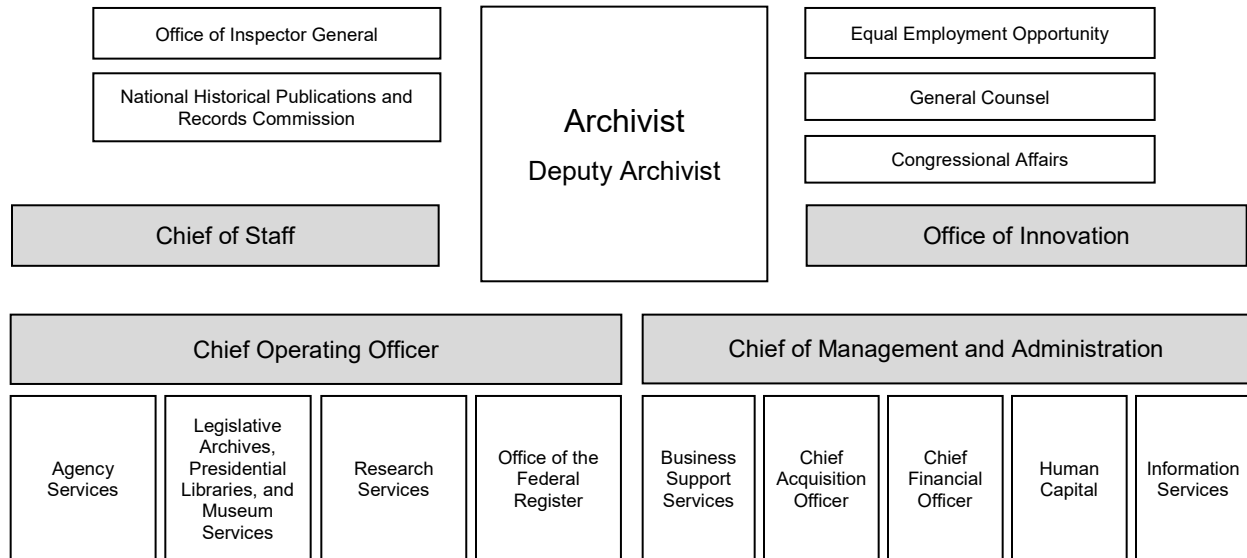
A Customer-Focused Organization.—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.

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



- *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.
- *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.
- *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.

National Archives and Records Administration
 Summary of the FY 2021 Request

Summary of Requested Appropriations Action
 (Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Operating Expenses:			
Legislative, Presidential, and Museum Services	\$ 103,280	\$ 92,770	\$ 94,131
Citizen Services	104,412	108,644	109,458
Agency and Related Services	79,742	75,398	70,608
Facility Operations	85,566	60,188	74,247
Electronic Records Initiative	0	22,000	9,230
Total Appropriation	\$ 373,000	\$ 359,000	\$ 357,674
<i>Redemption of debt</i>	<i>-27,224</i>	<i>0</i>	<i>0</i>
<i>Net budget authority</i>	<i>\$ 345,776</i>	<i>\$ 359,000</i>	<i>\$ 357,674</i>
Office of Inspector General	4,823	4,823	5,300
Repairs and Restoration	7,500	7,500	5,000
NHPRC Grants Program	6,000	6,500	0
Total Appropriations Request	\$ 391,323	\$ 377,823	\$ 367,974
<i>Total, Discretionary net budget authority</i>	<i>\$ 364,099</i>	<i>\$ 377,823</i>	<i>\$ 367,974</i>
Total Full-Time Equivalentents (FTE)	2,648.0	2,703.0	2,701.0

National Archives and Records Administration
Summary of the FY 2021 Request

Total Discretionary Obligations by Object Classification
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
11.1 Full-time, permanent.....	\$ 136,606	\$ 138,912	\$ 141,329
11.3 Other than full-time permanent.....	213	216	180
11.5 Other personnel compensation.....	2,472	2,530	2,609
11.8 Special personal services payments.....	36	36	36
12.1 Civilian personnel benefits.....	45,546	46,335	47,124
13.0 Benefits for former personnel.....	328	332	337
21.0 Travel and transportation of persons.....	762	930	705
22.0 Transportation of things.....	179	681	436
23.1 Rental payments to GSA.....	8,451	9,947	8,805
23.2 Rental payments to others.....	1,786	2,413	2,413
23.3 Communications, utilities, and misc. charges.....	12,181	11,744	11,367
24.0 Printing and reproduction.....	181	585	585
25.1 Advisory and assistance services.....	14,723	7,060	5,792
25.2 Other services from non-Federal sources.....	24,481	36,822	49,792
25.3 Other goods and services from Federal sources	20,249	16,565	34,946
25.4 Operation and maintenance of facilities.....	33,306	28,443	28,843
25.5 Research and development contracts.....	107	91	91
25.7 Operation and maintenance of equipment.....	35,327	36,328	31,178
26.0 Supplies and materials.....	1,709	2,676	2,606
31.0 Equipment.....	10,108	10,970	11,400
32.0 Land and structures.....	6,442	8,592	5,475
41.0 Grants, subsidies, and contributions.....	7,364	7,196	0
42.0 Insurance claims and indemnities.....	71	0	0
43.0 Interest and dividends.....	1,750	0	0
94.0 Financial transfers.....	27,224	0	0
99.0 Obligations, appropriated.....	\$ 391,602	\$ 369,404	\$ 386,049
<i>Subtotal, PC&B.....</i>	<i>185,201</i>	<i>188,361</i>	<i>191,615</i>
<i>Subtotal, non-labor.....</i>	<i>206,401</i>	<i>181,043</i>	<i>194,434</i>

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

National Archives and Records Administration

OPERATING EXPENSES

Fiscal Year 2021 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, **\$356,954,000**, of which **\$9,230,000** shall remain available until expended for [**the repair and alteration of the National Archives facility in College Park, Maryland and related**] improvements necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

Analysis of Language Provisions and Changes

NARA requested one-time funding in FY 2020 for building improvements to support the multi-year Electronic Records Initiative. NARA proposes removing language and the portion requested in FY 2020 for repairs and alterations to NARA's facility in College Park, MD that are non-recurring.

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 Presidential Materials Division, which provide records management services to Congress and the White House; the Presidential Libraries of fourteen 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, online at www.archives.gov, and through innovative tools and technology to support collaboration with the public.
- *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. In FY 2019, this includes 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. NARA completed repayment of this debt in FY 2019.
- *Electronic Records Initiative.*— This activity provides for expenses necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

National Archives and Records Administration
 Operating Expenses

Explanation of Changes
 (Dollars in Thousands)

	<u>FTE</u>	<u>Budget Authority</u>
FY 2020 Enacted level.....	1,408.0	\$ 359,000
FY 2021 Appropriation request.....	<u>1,408.0</u>	<u>356,954</u>
Net Change.....	0.0	-\$ 2,046
<hr/>		
Maintaining Current Levels:		
FY 2021 pay raise and annualization of FY 2020 pay raise		\$ 2,427
Federal Employee Retirement System (FERS) rate increase		1,701
Increase awards spending to 2.5% of salaries (M-19-24)	—	<u>1,348</u>
Subtotal, Maintaining Current Levels.....	0.0	\$ 5,476
Program Decreases:		
Non-recur FY 2020 initiatives		-\$ 14,770
Non-recur FY 2019 initiatives		-8,500
Program efficiency savings	—	<u>-1,252</u>
Subtotal, Program Decreases	0.0	-\$ 24,522
Program Increases:		
Improve veterans' access to their military records		\$ 16,000
NewPay payroll system transition costs	—	<u>1,000</u>
Subtotal, Program Increases	0.0	\$ 17,000
Net Change	0.0	-\$ 2,046

The FY 2021 budget requests an appropriation of **\$356,954 thousand and 1,408 FTE** for Operating Expenses. This reflects a net decrease of **-\$2,046 thousand** from the FY 2020 enacted level, which is the result of the following changes:

- (1) An increase of **\$5,476 thousand** to provide for pay and benefit increases. This includes the FY 2021 pay raise (1.0 percent), annualization of the FY 2020 pay raise (3.1 percent), an increase in the agency contribution rate to the Federal Employee Retirement System (FERS). This also includes an increase of \$1,348 to increase FY 2021 awards spending to an amount equal to 2.5% of annual salaries.
- (2) Program reductions totaling **-\$24,522 thousand** including:
 - **-\$14,770 thousand** from non-recurring FY 2020 initiatives
 - **-\$12,770 thousand** in reductions from non-recurring amounts requested in FY 2020 for the Electronic Records Initiative. Savings come from deferring planned expenditures for shelving, equipment moves, and new staff to support mass digitization. This reduction leaves \$9,230 thousand remaining in FY 2021 for digitization equipment and furniture, scanning software and data storage, and modernization of NARA's data network.
 - **-\$2,000 thousand** for the non-recurring FY 2020 Civil Rights Cold Case Initiative.
 - **-\$8,500 thousand** in reductions from non-recurring FY 2019 initiatives. NARA received funds in FY 2019 for the preservation of archival electronic records and Cybersecurity. NARA will continue to fund the initiatives in FY 2020 and non-recur in FY 2021. NARA continues to make both the preservation of archival electronic records and the protection of our IT systems and networks a priority. Funding in FY2021 provides for the continuous monitoring of our systems and networks along with continuing enhancements of its next-generation repository for archival electronic records.
 - **-\$1,252 thousand** in program efficiency savings from reductions to the operations and maintenance of National Archives facilities, and through the realization of a number of small program efficiency savings not directly focused on program delivery.
- (3) An increase of **\$17,000 thousand** to provide for the following program increases:
 - A program increase of \$16,000 thousand to improve veterans' access to their military records. Funding would provide military separation documents to all veterans and their families at no cost, and support veterans' access to records necessary to obtain veterans' benefits.
 - A program increase of \$1,000 thousand to support migration to a new, government-wide payroll system, NewPay.

Improve veterans' access to their military records

NARA's budget requests \$16,000 thousand to support veterans' access to records necessary to obtain veterans' benefits and to provide military separation documents to all veterans and their families at no cost.

The National Personnel Records Center (NPRC) in St. Louis, MO stores over 2.1 million cubic feet of retired military service records and responds to over one million requests for copies of those records each year. Veterans and their families request copies of their military service records to prove eligibility for health care at Department of Veteran's Affairs (VA) medical facilities, death benefits and military burials, and for genealogical research. NARA's Operating Expenses appropriation provides for the costs of storage and servicing military service records that are 62 years and older. For records less than 62 years old, the military services, U.S. Coast Guard, and the VA reimburse NARA for the costs of storage and services, through NARA's Records Center Revolving Fund. Each year, as a new cohort of military service records reaches 62 years of age, NARA assumes legal custody of the records and accessions them into the National Archives for permanent retention.

This initiative would allow NARA to transfer records to NARA custody 10 years earlier, when they are 52 years old. NARA's 2018-2022 Strategic Plan and OMB Memorandum 19-21, *Transition to Electronic Records*, establish an ambitious plan for NARA to stop accepting paper records from other agencies, to the extent possible, after December 31, 2022. Based on current procedures, NARA would not assume ownership of all paper military service records until 2067. This initiative would further NARA's strategic objectives by transferring some paper records into NARA's legal custody earlier than currently scheduled, and would complete the transfer of paper records by 2057. This investment would provide for the additional costs of storage and responding to veteran request for military service records that are between 62 and 52 years old.

This funding would allow NARA to provide free copies of military separation documents for all veterans and their families. Most veterans applying for benefits only require the military separation form, DD-214, in order to prove that they were honorably discharged. Currently, the military branches and U.S. Coast Guard reimburse NARA for the cost of responding to requests for records that are less than 62 years old. For records 62 years or older, NARA provides for the costs filling requests when the records are needed to qualify for veterans' benefits; however, for other requests, we charge user fees to the requestor. In most cases, the requestor is the veteran or a member of her or his family who need to demonstrate proof of honorable discharge or need a record of the veteran's service. The additional funding requested here would allow NARA to provide all veterans and their families with copies of military separation documents at no cost.

This initiative would also provide for the additional costs of allowing veterans to submit electronic requests for their records. Currently, request forms can be created online using NARA's eVetRecs system. However, requesters must print, sign, and date a signature verification form and mail or fax the request to NPRC in order for the request to be fulfilled. This additional manual step leads to an estimated 27,000 abandoned requests each month as requests are abandoned at the stage where a wet signature is required. NARA estimates that NPRC would receive an additional 320,000 requests per year if digital signatures were accepted. Providing sustained funding through annual appropriations would help to ensure that NARA has sufficient resources to respond to these requests. This would also reduce the burden on veterans by no longer requiring them to mail or fax forms.

Electronic Records Initiative

NARA's budget request includes \$9,230 thousand to accelerate the processing and release of large volumes of high-value digital government information through mass digitization of paper records and at-risk special media records (audio, video, and motion picture records) in support of NARA's Electronic Records Initiative. This initiative will support NARA efforts to end acceptance of paper records by December 31, 2022 and will assist Federal agencies in their work to move their business processes and recordkeeping to a fully electronic environment. NARA's FY 2021 request is a reduction of -\$12,770 thousand from the FY 2020 enacted level.

Funds are included in the FY 2021 request to provide for mass digitization equipment and equipment to digitize special media records. When fully operationalized, NARA expects this investment to allow the agency to digitize and provide online public access to an additional 8-12 million pages of records each year. NARA would also invest funds to modernize the agency's telecommunications network, to allow for larger volumes of electronic files to pass from digitization equipment to Cloud processing systems and long-term Cloud storage. This initiative would improve NARA's efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Funds provided in FY 2020 will be used to renovate space in the National Archives building in College Park, to provide appropriate space for mass digitization or archival records, a modern lab for digitizing special media records, new storage space for archival records, and new cold storage space for special media records. Funds included in the FY 2021 request would allow NARA to populate the newly-renovated space with equipment necessary to prepare and digitize large volumes of analog records, assign metadata to digitized records, and safely transfer digital images to Cloud storage and online citizen access.

National Archives and Records Administration
Operating Expenses

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Unobligated balance, no-year appropriation.....	\$ 386	\$ 431	\$ 431
Unobligated balance, no-year (GPO space).....	\$ 8,758	\$ 8,673	\$ 0
Unobligated balance, no-year (ERI).....	\$ 0	\$ 0	\$ 17,600
Transfer in from trust fund accounts ¹	\$ 719	\$ 720	\$ 720
Discretionary authority:			
Annual appropriation.....	\$ 373,000	\$ 335,000	\$ 347,724
No-year appropriation (ERI).....	0	22,000	9,230
No-year appropriation (Civil Rights)	0	2,000	0
Total discretionary authority.....	\$ 373,000	\$ 359,000	\$ 356,954
Reimbursable authority:			
New spending authority collected ²	\$ 2,003	\$ 2,995	\$ 1,495
Change in uncollected payments.....	0	0	0
Subtotal, reimbursable authority.....	\$ 2,003	\$ 2,995	\$ 1,495
Unobligated balance, expiring.....	-\$ 465	\$ 0	\$ 0
Unobligated balance, available in future years.....	-\$ 9,104	-\$ 18,031	-\$ 431
Unobligated balance, reimbursable.....	\$ 0	\$ 0	\$ 0
Total obligations.....	\$ 375,297	\$ 353,788	\$ 376,769
Obligations, annual appropriation.....	\$ 373,254	\$ 335,720	\$ 348,444
Obligations, no-year (GPO space).....	85	8,673	0
Obligations, no-year appropriation (ERI).....	0	4,400	26,830
Obligations, no-year appropriation (Civil Rights).....	0	2,000	0
Obligations, reimbursable.....	2,003	2,995	1,495
<i>Net outlays</i>	<i>\$ 343,206</i>	<i>\$ 339,958</i>	<i>\$ 346,155</i>

1/ NARA anticipates an additional \$720 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, to partially offset the costs of facility operations and maintenance at each respective Library.

2/ NARA anticipates providing reimbursable services to the National Archives Trust Fund (as authorized by 44 U.S.C. § 2302) in the amount of \$1,495 thousand and 27 FTE in FY 2021. Reimbursable services provide for the costs of reproducing archival documents for sale to the public and other, related projects.

Obligations by Object Classification
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
11.1 Full-time, permanent.....	\$ 134,096	\$ 135,880	\$ 138,147
11.3 Other than full-time permanent.....	213	216	180
11.5 Other personnel compensation.....	2,344	2,375	2,416
11.8 Special personal services payments.....	36	36	36
12.1 Civilian personnel benefits.....	44,605	45,198	45,953
13.0 Benefits for former personnel.....	328	332	337
21.0 Travel and transportation of persons.....	720	900	675
22.0 Transportation of things.....	179	681	436
23.1 Rental payments to GSA.....	8,451	9,947	8,805
23.2 Rental payments to others.....	1,786	2,413	2,413
23.3 Communications, utilities, and misc. charges....	12,181	11,744	11,367
24.0 Printing and reproduction.....	181	585	585
25.1 Advisory and assistance services.....	13,629	6,722	5,622
25.2 Other services from non-Federal sources.....	24,425	23,733	22,952
25.3 Other goods & services from Federal sources..	20,218	16,535	34,932
25.4 Operation and maintenance of facilities.....	33,086	28,443	28,843
25.5 Research and development contracts.....	107	91	91
25.7 Operation and maintenance of equipment.....	35,313	36,313	31,128
26.0 Supplies and materials.....	1,630	2,626	2,576
31.0 Equipment.....	9,797	10,950	10,950
32.0 Land and structures.....	884	0	0
42.0 Insurance claims and indemnities.....	71	0	0
43.0 Interest and dividends.....	1,750	0	0
94.0 Financial transfers.....	27,224	0	0
99.0 Obligations, annual appropriation.....	\$ 373,254	\$ 335,720	\$ 348,444
<i>Subtotal, PC&B.....</i>	<i>181,622</i>	<i>184,037</i>	<i>187,069</i>
<i>Subtotal, non-labor.....</i>	<i>191,632</i>	<i>151,683</i>	<i>161,375</i>
99.0 Obligations, no-year (GPO space).....	85	8,673	0
99.0 Obligations, no-year appropriation (ERI).....	0	4,400	26,830
99.0 Obligations, no-year appropriation (Civil Rights)	0	2,000	0
99.0 Obligations, reimbursable.....	2,003	2,995	1,495
99.0 Total obligations.....	\$ 375,342	\$ 353,788	\$ 376,769
Full-Time Equivalentents (FTE) Direct.....	1,402.0	1,408.0	1,408.0
Full-Time Equivalentents (FTE) Reimbursable.....	27.0	29.0	27.0

NARA Budget Activities

NARA's mission is to provide meaningful public access to records that document the rights of citizens, ensure government accountability, and document the history of the United States Government. 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 five budget activities, which 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 (LPM) 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 records for the benefit of future generations.
 - The Office of Innovation, which provides public access to and engagement with government records through the National Archives Catalog at catalog.archives.gov and innovative tools that support collaboration with the public.
- *Agency and Related Services*.—This activity includes:
 - The Agency Services organization, which supports all Federal agencies' records management needs 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.
- *Electronic Records Initiative*.— This activity provides for NARA activities expenses necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

Costs of agency-wide management and administrative functions are allocated across NARA's five budget activities.

National Archives and Records Administration
Operating Expenses

Obligations by Program Activity
(Dollars in Thousands)

	FY 2019		FY 2020		FY 2021	
	Actual		Enacted		Request	
	FTE	Dollars	FTE	Dollars	FTE	Dollars
1. Legislative, Presidential, and Museum Services:						
Presidential Libraries	355.0	\$89,413	322.0	\$79,397	322.0	\$72,754
Legislative Archives, Presidential Materials, and Public Programs	<u>73.0</u>	<u>14,121</u>	<u>79.0</u>	<u>14,093</u>	<u>79.0</u>	<u>21,377</u>
Subtotal, LPM Services.....	428.0	\$103,534	401.0	\$93,490	401.0	\$94,131
2. Citizen Services:						
Office of Innovation	62.0	\$12,919	67.0	\$13,000	67.0	\$12,555
Research Services	603.0	91,493	639.0	93,644	639.0	96,903
Civil Rights (no-year)	<u>0.0</u>	<u>0</u>	<u>0.0</u>	<u>2,000</u>	<u>0.0</u>	<u>0</u>
Subtotal, Citizen Services.....	665.0	\$104,412	706.0	\$108,644	706.0	\$109,458
3. Agency and Related Services:						
Agency Services	221.0	\$42,588	209.0	\$40,356	209.0	\$40,505
Electronic Records Archives	27.0	25,856	29.0	23,575	29.0	18,611
Federal Register	<u>61.0</u>	<u>11,298</u>	<u>63.0</u>	<u>11,467</u>	<u>63.0</u>	<u>11,492</u>
Subtotal, Agency and Related.....	309.0	\$79,742	301.0	\$75,398	301.0	\$70,608
4. Facility Operations:						
NARA Facility Operations	0.0	\$85,566	0.0	\$60,188	0.0	\$74,247
GPO space improvements (no-year)	<u>0.0</u>	<u>85</u>	<u>0.0</u>	<u>8,673</u>	<u>0.0</u>	<u>0</u>
Subtotal, Facility Operations.....	0.0	\$85,651	0.0	\$68,861	0.0	\$74,247
5. Electronic Records Initiative (no-year)						
	0.0	\$0	0.0	\$4,400	0.0	\$26,830
Total, Annual Appropriation.....	1,402.0	\$373,254	1,408.0	\$335,720	1,408.0	\$348,444
Total, No-year Appropriation.....	0.0	\$85	0.0	\$15,073	0.0	\$26,830

Legislative Archives, Presidential Libraries, and Museum Services

(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
LPM Services	\$ 103,534	\$ 93,490	\$ 94,131

NARA's FY 2021 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- \$52,192 thousand for the Presidential Libraries system, including \$21,376 thousand for the operations and maintenance of facilities; and
- \$16,310 thousand for: nationwide education, outreach, and exhibits programs; the Center for Legislative Archives, which provides records management services for Congress; and the Presidential Materials Division, which provides records management guidance and courtesy storage for the incumbent administration and oversees special access and declassification at the Presidential Libraries.

An additional \$25,629 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 2021 and future years:

- 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. NARA must review all Presidential papers page-by-page, to identify and redact national security and other restricted information, which is an extremely resource-intensive process. NARA had a FOIA backlog of an estimated 158 million pages at the George W. Bush Library in FY 2019, five years after his records became subject to FOIA. NARA is currently only able to process approximately 50,000 pages per year in response to FOIA requests for Presidential records.
- NARA is challenged to preserve electronic Presidential records. At the end of each Presidential administration, NARA accepts legal and physical custody of all Presidential records and must store and preserve those records in perpetuity. NARA receives Presidential records into the National Archives much earlier than Federal agency records; as a result, electronic Presidential records typically use modern file formats, a wider range of

formats, including social media, and have unique security concerns. NARA's existing systems for preserving and providing access to electronic records from agencies are not easily adapted for Presidential records because of the newer formats and complex access restrictions and reviews for Presidential records.

LPM Services FY 2021 Budget Request

The FY 2021 budget request provides \$94,131 thousand for LPM Services, a net increase of \$641 thousand from the FY 2020 enacted level, including:

- +\$1,031 thousand for increased personnel costs;
- -\$68 thousand reduction to travel; and
- -\$322 thousand for decreases in allocated costs of management and administration, including information technology.

Citizen Services

(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Research Services	\$ 91,493	\$ 93,644	\$ 96,903
Office of Innovation	12,919	13,000	12,555
Civil Rights	0	2,000	0
Total	\$ 104,412	\$ 108,644	\$ 109,458

NARA's FY 2021 request for *Citizen Services* includes:

- \$64,356 thousand for the Research Services organization, for the preservation of permanently valuable Federal government records and for continued access to those records by the researcher community and the general public;
- \$7,968 thousand for the Office of Innovation, which leads NARA open government and digitization efforts, maintains NARA's online National Archives Catalog and provides innovative tools to enhance collaboration and engagement with the public.

An additional \$37,134 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 public access to archival records for researchers and the public at fifteen locations across the country and through the online National Archives Catalog, at catalog.archives.gov. Research Services processes, describes, and preserves 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; online at HistoryHub.history.gov, and through Freedom of Information Act (FOIA) 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 2021 and future years:

- NARA is approaching its maximum limits in archival storage capacity. NARA currently holds over 4.7 million cubic feet of archival Federal records, but anticipates that an additional 2.6 million cubic feet of permanently valuable, historical records will be transferred to Research Services over the next 15 years. Preserving records is essential to the successful accomplishment of NARA's mission. NARA must have sufficient storage space that meets archival standards in order to preserve them for use by the public.
- NARA stores permanently-valuable, archival records in a wide variety of formats. Special media records, such as photographs, audio, video, and motion picture films, are highly vulnerable to deterioration, and must be stored in specialized vaults where the temperature is kept at or below freezing. Cold storage is the most expensive to operate and acquire, and NARA expects to exhaust existing cold storage space in FY 2020. Archival special media records are also subject to format obsolescence. Many archival audio, video, and motion pictures were created in formats that no longer exist. In many cases, blank stock and playback equipment no longer exist to make copies of fragile and deteriorating records. NARA must digitize special media records before they deteriorate to the point where they can no longer be used.

Research Services FY 2021 Budget Request

The FY 2021 budget request provides \$96,903 thousand for Research Services, a net increase of \$3,259 thousand from the FY 2020 enacted level, including:

- +\$2,259 thousand increase in personnel costs;
- +\$1,453 thousand for contract increases;
- -\$43 thousand reduction to travel; and
- -\$410 thousand for decreases in allocated costs of management and administration, including information technology.

Office of Innovation Strategic Direction

The *Office of Innovation* leads NARA's open government 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 Office of Innovation provides online public access to archival records through the National Archives

Catalog, and through relationships with external platforms, including Wikipedia and the Digital Public Library of America (DPLA). The Office of Innovation encourages public engagement in historical government records by leading crowdsourcing initiatives and developing innovative public programs.

Management challenges and opportunities for FY 2021 and future years:

- There is a large and growing public demand for online access to government information and records. In FY 2019, archives.gov and other NARA websites realized almost 40 million visits. NARA has contributed over 12.9 million digital copies of NARA records to DPLA, a collaborative effort between archives, libraries, and museums to create an online library and capture America's living history. Building NARA's online presence and collaborating with other organizations has allowed NARA to expand public access to historical government records far beyond what could be done with NARA's tools and resources alone.
- NARA has digitized more than 90 million pages of archival records and made them available online, through the National Archives Catalog. But simply posting records on a public website does not make them easy to discover or use for research. Many records are inadequately described and responsive records are often buried in pages of online search results. NARA must develop next-generation finding aids that help researchers quickly identify records that contain relevant information. NARA will also provide tools that allow users to generate their own aids that will streamline their research and assist others in discovering Federal and Presidential records.

Office of Innovation FY 2021 Budget Request

The FY 2021 budget request provides \$12,555 thousand for the Office of Innovation, a net decrease of -\$445 thousand from the FY 2020 enacted level, including:

- *+\$116 thousand increase in personnel costs;*
- *-\$500 thousand for contract decreases;*
- *-\$4 thousand reduction to travel; and*
- *-\$57 thousand from decreases in allocated costs of management and administration, including information technology.*

Agency and Related Services

(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Agency Services	\$ 42,588	\$ 40,356	\$ 40,505
Electronic Records Archives	25,856	23,575	18,611
Federal Register	11,298	11,467	11,492
Total	\$ 79,742	\$ 75,398	\$ 70,608

NARA's FY 2021 request for *Agency and Related Services* includes:

- \$25,775 thousand for the Agency Services organization, including \$3,866 thousand for the Information Security Oversight Office, \$6,959 thousand for the National Declassification Center, and \$1,289 thousand for the Office of Government Information Services;
- \$18,611 thousand for the electronic records management activities of the Electronic Records Archives system; and
- \$7,522 thousand for the Office of the Federal Register.

An additional \$18,700 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 promotes transparency by resolving disputes between Federal agencies and requestors, and identifying methods to improve FOIA processes and compliance.

Management challenges and opportunities for FY 2021 and future years:

- Office of Management and Budget (OMB) Memorandum M-19-21, Transition to Electronic Records, requires all Federal agencies to manage all permanent electronic records electronically and to manage temporary electronic records in an electronic format or transfer them to commercial records storage facilities by December 31, 2022. NARA must provide agencies with clear and effective guidance, training, and electronic tools to assist agencies in transitioning to fully electronic business processes and recordkeeping. NARA must also collaborate with the private sector to ensure that agencies can acquire affordable, compliant records management systems and services in a competitive market.

- NARA's National Declassification Center (NDC) is responsible for safeguarding and appropriately declassifying classified archival records. Tens of millions of pages require declassification processing annually, many of which require intensive declassification review. In addition, the NDC has a small but growing backlog of classified special media (photographs, audio and video recordings, and motion pictures). The NDC must develop new processes for the expedient review of more than 198,000 cubic feet of classified textual and other analog records, as well as large volumes of classified electronic and special media records.

Agency Services FY 2021 Budget Request

The FY 2021 budget request provides \$40,505 thousand for Agency Services, a net increase of \$149 thousand from the FY 2020 enacted level, including:

- *+\$379 thousand increase in personnel costs;*
- *-\$45 thousand reduction to travel; and*
- *-\$185 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 supports NARA programs and activities through the application of information technology and sound information management practices. Information Services provides tools and technologies that support preservation of and access to electronic Federal government records in NARA's custody.

Management challenges and opportunities for FY 2021 and future years:

- Maintaining effective IT Security remains a challenge for all Federal agencies, including NARA. NARA has made significant progress in establishing perimeter defenses at the network level, but must make greater progress in deploying user and device authentication services. NARA must expand its use of two-factor authentication of users, devices, and applications to provide greater security within the network, and better block and isolate malicious activities.
- Federal government data sets are growing in size and complexity, and the transfer 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, compliant options to store inactive records for occasional access.

Electronic Records Archives FY 2021 Budget Request

The FY 2021 budget request provides \$18,611 thousand for the ERA system, a net decrease of -\$4,964 thousand from the FY 2020 enacted level, including:

- +137 thousand increase for personnel costs;
- -\$1 thousand reduction in travel; and
- -\$5,100 thousand decrease from non-recurring FY 2019 initiative to preserve archival electronic records.

Funds requested for ERA in FY 2021 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 2021 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 FY 2021 Budget Request

The FY 2021 budget request provides \$11,492 thousand for the Office of the Federal Register, a net increase of \$25 thousand from the FY 2020 enacted level, including:

- +\$76 thousand increase in personnel costs;
- -\$1 thousand in decreased travel costs; and
- -\$50 thousand from decreases in allocated costs of management and administration, including information technology.

Facility Operations

(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Facility Operations	\$ 85,566	\$ 60,188	\$ 74,247

NARA’s FY 2021 request for *Facility Operations* includes:

- \$74,247 thousand for rent, utilities, and other costs of operations and maintenance at three NARA-owned Federal buildings and 28 leased facilities.

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, physical security, and facility and property management.

Management challenges and opportunities for FY 2021 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 over 533,000 cubic feet of newly-accessioned archival records over the past five years, an increase of 13 percent, but has not seen an equivalent increase in space available for the storage of these records. NARA expects to receive an additional 2.6 million cubic feet of new archival records over the next 15 years.

- 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 must make additional investments in its physical infrastructure, including replacing aging closed circuit television (CCTV) monitoring systems and physical access control systems (PACS), in order to improve the safety and security of NARA records and occupants of NARA facilities.

Facility Operations FY 2021 Budget Request

The FY 2021 budget request provides \$74,247 thousand for Facility Operations, a net increase of \$14,059 thousand from the FY 2020 enacted level, including the following:

- +\$16,000 thousand to support veterans access to records;
- -\$1,141 thousand for decreases to rent and other costs of operations and maintenance; and
- -\$800 thousand in reductions to facility services and guard services.

Electronic Records Initiative

(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Electronic Records Initiative	\$ 0	\$ 22,000	\$ 9,230

NARA’s FY 2021 request for *Electronic Records Initiative* includes:

- \$9,230 thousand to support implementation of NARA’s FY 2018-2022 Strategic Goal to stop accepting analog records by December 31, 2022 and to support Federal agencies’ transition to fully electronic recordkeeping.

Funds requested for Electronic Records Initiative in FY 2021 will provide for digitization equipment and furniture, scanning software and data storage, and modernization of NARA’s data network.

Electronic Records Initiative FY 2021 Budget Request

The FY 2021 budget request provides \$9,230 thousand for Electronic Records Initiative, a net decrease of -\$12,770 thousand from the FY 2020 request, including the following:

- -\$12,770 thousand from non-recurring amounts requested in FY 2020, deferring planned expenditures for shelving, equipment moves, and new staff to support mass digitization.

Information Technology (IT) Resource Statement



To: Office of Management and Budget Date: 01/10/2020

From: Swarnali Haldar Colleen Murphy Gary Stern
Chief Information Officer Chief Financial Officer General Counsel / SAOP

Subject: Information Technology (IT) Resource Statements

In accordance with OMB Circular A-11 Section 51.3, this is affirmation that the Chief Information Officer (CIO), Chief Financial Officer (CFO), and Senior Agency Official for Privacy (SAOP) for the National Archives and Records Administration (NARA) have completed the following:

- The CIO, CFO, and SAOP collaborated on the IT Budget submission, which includes appropriate estimates of IT resources and associated privacy requirements with respect to any IT resources that will be used to create, collect, use, process, store, maintain, disseminate, disclose, or dispose of personally identifiable information (PII);
- The CFO and the CIO jointly affirm that the CIO had a significant role in reviewing and approving all IT investments, including planned IT support for major programs and any associated significant increases or decreases in IT resources reflected in the Agency budget request;
- The CIO certifies that she is aware of the investments that are using incremental development practices, emphasizing the Electronic Records Archives 2.0, which is NARA's primary software development project;
- No planned deviation is expected from the M-19-16 requirements for which a Quality Service Management Office (QSMO) has been pre-designated;
- As a non-CFO Act Agency, the FITARA requirements are not applicable.

X 
Swarnali Haldar
Chief Information Officer

X 
Colleen Murphy
Chief Financial Officer

X 
Gary Stern
General Counsel / SAOP

NATIONAL ARCHIVES *and*
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National Archives and Records Administration

OFFICE OF INSPECTOR GENERAL

Fiscal Year 2021 Budget Request

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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.), as amended, and for the hire of passenger motor vehicles, **\$5,300,000**.

Program Description

The Office of Inspector General (OIG) provides independent audits, investigations, and other services; 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 investigates misconduct, 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)

	<u>FTE</u>	<u>Budget Authority</u>
FY 2020 Enacted level.....	24.0	\$ 4,823
FY 2021 Appropriation request.....	<u>24.0</u>	<u>5,300</u>
Net Change.....	0.0	\$ 477

	<u>FTE</u>	<u>Budget Authority</u>
Pay Adjustments and Awards Spending		\$ 155
E-mail and IT Infrastructure		500
Program Efficiency Savings	—	<u>-178</u>
Net Change	0.0	\$ 477

Summary of the Request

The FY 2021 budget requests \$5,300 thousand and 24 FTE for the Office of Inspector General (OIG), which is an increase of \$477 thousand from the FY 2020 enacted level. The request includes an increase of \$125 thousand to provide for the cost of pay adjustments and an increase of \$30 thousand to increase awards spending to 2.5% of annual salaries. This increase is offset by program efficiency savings.

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. NARA requests an increase of \$500 thousand to support an independent OIG E-mail and IT Infrastructure capable of supporting improved internal controls, program management and delivery of services.

In accordance with the IG Act, as amended, the IG has certified that the requested amount satisfies all training requirements and necessary support to the Council of Inspectors General on Integrity and Efficiency (CIGIE) for FY 2021.

- The OIG request includes \$50 thousand for training in FY 2021, 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, 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; 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 \$12,483 in FY 2021.

Strategic Direction

The OIG is charged to promote economy, efficiency, and effectiveness agency-wide, while preventing and detecting fraud, waste, abuse, and mismanagement. They accomplish this 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. Through this, 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.

OIG activities cover all aspects of NARA operations at 43 facilities nationwide holding billions of historic records, hundreds of thousands of artifacts, and hundreds of terabytes of electronic records. This ever growing repository includes classified and highly sensitive records, military and civilian personnel records, Presidential records, and Presidential gifts. The OIG must audit increasingly complicated information technology systems, financial actions, and all of the programs and operations of the agency. OIG investigations encompass an incredible range of criminal activity including theft of our Nation's historical holdings, procurement fraud, espionage and unauthorized release of classified information, loss of personally identifiable information (PII), compromise of NARA IT systems, ethics violations, and other inappropriate conduct.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Discretionary authority:			
Annual appropriation.....	\$ 4,823	\$ 4,823	\$ 5,300
Unobligated balance, expiring.....	-\$ 529	\$ 0	\$ 0
Total obligations.....	\$ 4,294	\$ 4,823	\$ 5,300
<i>Net outlays</i>	<i>\$ 3,651</i>	<i>\$ 5,021</i>	<i>\$ 5,249</i>

Obligations by Object Classification
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
11.1 Full-time, permanent.....	\$ 2,510	\$ 3,032	\$ 3,182
11.5 Other personnel compensation.....	128	155	193
12.1 Civilian personnel benefits.....	941	1,137	1,171
21.0 Travel and transportation of persons.....	42	30	30
25.1 Advisory and assistance services.....	277	338	170
25.2 Other services from non-Federal sources.....	11	16	10
25.3 Other goods & services from Fed. sources.....	31	30	14
25.4 Operation and maintenance of facilities.....	59	0	0
25.5 Research and development contracts.....	0	0	0
25.7 Operation and maintenance of equipment.....	14	15	50
26.0 Supplies and materials.....	68	50	30
31.0 Equipment.....	213	20	450
99.0 Total obligations.....	\$ 4,294	\$ 4,823	\$ 5,300
<i>Subtotal, PC&B.....</i>	<i>3,579</i>	<i>4,324</i>	<i>4,546</i>
<i>Subtotal, non-labor.....</i>	<i>715</i>	<i>499</i>	<i>754</i>
Full-Time Equivalents (FTE).....	18.0	24.0	24.0

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National Archives and Records Administration

REPAIRS AND RESTORATION

Fiscal Year 2021 Budget Request and

Capital Improvements Plan

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Appropriation Language

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage for holdings, **\$5,000,000**, to remain available until expended.

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)

	<u>Budget Authority</u>
FY 2020 Enacted level.....	\$ 7,500
FY 2021 Appropriation request.....	<u>5,000</u>
Net Change.....	-\$ 2,500

Summary of the Request

The FY 2021 budget requests \$5,000 thousand for Repairs and Restoration of NARA-owned Federal buildings, which is a net decrease of -\$2,500 thousand from the FY 2020 enacted level.

The FY 2021 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 14 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, nearly 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 and risk management performed by NARA facility managers, which focus on protection of archival documents and artifacts, health and safety of building occupants, and cost effectiveness.

National Archives and Records Administration
Repairs and Restoration

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Unobligated balance carried forward.....	\$ 105	\$ 1,217	\$ 300
Recoveries of prior-year obligations.....	\$ 217	\$ 175	\$ 175
New discretionary authority:			
No-year appropriation.....	\$ 7,500	\$ 7,500	\$ 5,000
New Discretionary authority.....	\$ 7,500	\$ 7,500	\$ 5,000
Unobligated balance, available in future years.....	-\$ 1,217	-\$ 300	\$ 0
Total obligations.....	\$ 6,605	\$ 8,592	\$ 5,475
<i>Net outlays</i>	<i>\$ 8,499</i>	<i>\$ 13,209</i>	<i>\$ 7,196</i>

Obligations by Object Classification
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
25.1 Advisory and assistance services.....	\$ 817	\$ 0	\$ 0
25.2 Other services.....	45	0	0
25.3 Goods and services from Gov't accounts.....	0	0	0
25.4 Operation and maintenance of facilities.....	161	0	0
26.0 Supplies and materials.....	11	0	0
31.0 Equipment.....	13	0	0
32.0 Land and structures.....	5,558	8,592	5,475
99.0 Total obligations.....	\$ 6,605	\$ 8,592	\$ 5,475

FY 2021 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

Lyndon B. Johnson Library, Austin, TX. –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 undergone 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 FY 2018, NARA began a roof replacement project for the Library; due to be completed in FY 2020. Additional repairs will be required for the drainage system.

Dwight D. Eisenhower Library, Abilene, KS. —The Eisenhower Library complex needs a major renovation to bring it up to the current Architectural Design Standards for Presidential Libraries (ADSPL).

NARA's most recent Building Condition Report (BCR) on the Eisenhower Library complex found that the buildings are well constructed and maintained, but some buildings have yet to receive 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.

NARA has incrementally replaced building systems that were in the most urgent need of replacement and could not wait for a 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 and leave portions of each facility without renovations. In FY 2015, NARA completed a roof repair and replacement project, extending the life of the roof 10 years. In FY 2016, NARA invested almost \$2,000,000 in various projects to replace components of the heating and mechanical systems for the Library, and replaced the main entrance doors with power-assisted entry doors to address ADA compliance. In FY 2018, NARA invested over \$1,000,000 to address asbestos removal and air handler units.

National Archives at College Park, MD.—The roof is approaching the end of its anticipated life, and several areas 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 replaced several sections of roof between FY 2010 and FY 2017.

Most of the major building systems in the College Park facility have been well maintained but reached the end of their 25-year service life in FY 2017; as many of the systems were installed during building construction in 1992. NARA HVAC systems have been required to maintain archival storage standards 24 x 7, 365 days per year for nearly 25 years. In FY 2016, NARA refurbished existing gas filtration units for air handling units. NARA has started replacing components in several of the 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.

Ronald Reagan Library, Simi Valley, CA. The Reagan Library was originally constructed in 1991 and expanded in FY 2003, with the construction of the Presidential Learning Center. Many systems within the original construction reached the end of their 25-year service life in FY 2014 and require a major renovation. A large roof replacement and security upgrade were completed in FY 2015 and FY 2016.

NARA replaced portions of the original building systems, including HVAC equipment, in connection with a FY 2011 renovation of the museum space that was funded by the private Ronald Reagan Foundation. At the time of the HVAC replacement, NARA prepared a phase 2 design plan to bring all of the HVAC systems into compliance with the current archival standards. The phase 2 design now requires re-design and multi-year construction funding.

Harry S. Truman Library, Independence, MO. The Truman Library requires a complete HVAC 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). In FY 2014, NARA replaced the building security system. In FY 2015, NARA completed a two-year project to replace some of the facility's air handling units. The areas that have not been renovated still require attention, and the previously renovated area needs to be revisited to bring the facility into compliance with current archival storage standards. In FY 2019, design work began to replace three aging air handler units.

Gerald R. Ford Library, Ann Arbor, MI. —The Ford Library requires many repairs, including several 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. In FY 2018 NARA completed a much needed chiller replacement project, and funded design and

construction in FY 2019 for replacement of aging air handler units and electrical motor control equipment.

William J. Clinton Library, Little Rock, AR. –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 10 to 15 years before they need a major retrofit. The Clinton dryers were installed in FY 2004. Following a study to review the de-humidification requirements and controls, a project can be planned in the next 5 years.

The Clinton Library will be twenty years old in FY 2023, and it is anticipated that some renovation work will be needed for building structure and systems. As no major repairs have been completed at the Library, considerations will need to be made in the next 5 years.

George H.W. Bush Library, College Station, TX. –The George H. W. Bush Library is twenty years old and while the building is currently in good condition, given the replacement of the roof to stop water leaks, and dehumidification for archival storage in FY 2018, NARA must anticipate and develop plans for future building renovations.

Jimmy Carter Library, Atlanta, GA. –The Carter Library has undergone several repair projects over the last four years. NARA replaced some building mechanical systems in connection with a Foundation-funded renovation of the museum exhibit. This project helped to bring some areas of the facility into compliance with current archival standards and improve energy efficiency. Between FY 2016 and FY 2017 NARA completed over \$2,500,000 in repairs to Library mechanical and electrical systems, duct work, bathroom, and work areas. In FY 2019, NARA invested \$1,025,000 to repair the main entrance and to address ADA compliance deficiencies.

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National Archives and Records Administration
NATIONAL HISTORICAL PUBLICATIONS
AND RECORDS COMMISSION GRANTS PROGRAM

Fiscal Year 2021 Budget Request

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Appropriation Language

[*For necessary expenses for allocations and grants for historical publications and records as authorized by 44 U.S.C. 2504, \$0.]*

Analysis of Language Provisions and Changes

No appropriations are requested for the National Historical Publications and Records Commission (NHPRC) grants program in FY 2021.

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. The Budget does not request funds for this program.

National Archives and Records Administration
National Historical Publications and Records Commission Grants Program

Explanation of Changes

(Dollars in Thousands)

	<u>Budget Authority</u>
FY 2020 Enacted level.....	\$ 6,500
FY 2021 Appropriation request.....	<u>0</u>
Net Change.....	-\$ 6,500

Summary of the Request

NARA requests no new funding in the FY 2021 budget for the National Historical Publications and Records Commission (NHPRC). Appropriations to the NHPRC Grants Program provide for grants only; an additional \$1,614 thousand in the NARA Operating Expenses appropriation provides for the salaries and expenses of administering the NHPRC grants program. This funding and the associated FTE will be needed in FY 2021 to administer grants awarded in previous years.

Amounts Available for Obligation

(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
Unobligated balance carried forward.....	\$ 1,543	\$ 421	\$ 0
Recoveries of prior-year obligations.....	\$ 242	\$ 275	\$ 275
New discretionary authority:			
No-year appropriation.....	\$ 6,000	\$ 6,500	\$ 0
Unobligated balance, available in future years.....	-\$ 421	\$ 0	-\$ 275
Total obligations.....	\$ 7,364	\$ 7,196	\$ 0
<i>Net outlays</i>	<i>\$ 5,010</i>	<i>\$ 9,526</i>	<i>\$ 7,358</i>

National Archives and Records Administration
National Historical Publications and Records Commission Grants Program

Obligations by Object Classification
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request
41.0 Grants, subsidies, and contributions.....	\$ 7,364	\$ 7,196	\$ 0
99.0 Total obligations.....	\$ 7,364	\$ 7,196	\$ 0

National Archives and Records Administration

SPECIAL FUNDS

Fiscal Year 2021 Budget Request

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Records Centers Revolving Fund

Authorizing Language

Authorization of the Records Centers 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 Records 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)

	<u>FTE</u>	<u>Obligations</u>
FY 2020 Current.....	1,180.0	\$ 196,384
FY 2021 Budget.....	<u>1,180.0</u>	<u>197,892</u>
Net Change.....	0.0	\$ 1,508

The FY 2021 budget includes an estimated \$197,892 thousand in obligations for the Records Centers Revolving Fund, a net increase of \$1,508 thousand from FY 2020 estimated obligations of \$196,384 thousand. Included in the FY 2021 budget is an increase of \$64 thousand to increase awards spending to 2.5% of annual salaries.

This full cost-recovery revolving fund provides for the operations of the NARA Federal Records Centers Program (FRCP). The FRCP stores over 27 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.

National Archives and Records Administration
Records Centers Revolving Fund

Income/Cost Comparison
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Current	FY 2021 Budget
Revenue.....	\$ 188,100	\$ 193,500	\$ 193,400
Expenses.....	191,632	193,000	193,300
Net Operating Result.....	-\$ 3,532	\$ 500	\$ 100

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Current	FY 2021 Budget
Unobligated balance carried forward.....	\$ 72,678	\$ 62,264	\$ 64,580
Recoveries of prior-year obligations.....	\$ 6,212	\$ 4,358	\$ 4,000
New discretionary authority:			
Collections from other Federal agencies.....	\$ 187,978	\$ 193,500	\$ 193,400
Change in unfilled customer orders.....	-\$ 12,238	\$ 0	\$ 0
New Discretionary authority.....	\$ 175,740	\$ 193,500	\$ 193,400
Unobligated balance, available in future years.....	-\$ 62,264	-\$ 64,580	-\$ 63,822
Total obligations.....	\$ 192,366	\$ 195,542	\$ 198,158
<i>Net outlays</i>	<i>\$ 958</i>	<i>\$ 0</i>	<i>\$ 0</i>

National Archives and Records Administration
Records Centers Revolving Fund

Obligations by Object Classification
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Current	FY 2021 Budget
11.1 Full-time, permanent.....	\$ 61,501	\$ 63,108	\$ 63,776
11.3 Other than full-time permanent.....	630	658	665
11.5 Other personnel compensation.....	4,230	4,328	4,374
11.8 Special personal services payments.....	31	39	39
12.1 Civilian personnel benefits.....	23,447	23,940	24,193
13.0 Benefits for former personnel.....	87	100	100
21.0 Travel and transportation of persons.....	519	500	500
22.0 Transportation of things.....	1,311	1,600	1,675
23.1 Rental payments to GSA.....	47,216	48,251	48,626
23.2 Rental payments to others.....	9,525	10,723	10,948
23.3 Communications, utilities, and misc. charges....	4,683	4,840	4,890
24.0 Printing and reproduction.....	59	100	90
25.1 Advisory and assistance services.....	3,242	3,885	4,085
25.2 Other services from non-Federal sources.....	12,476	5,759	6,209
25.3 Other goods & services from Federal sources...	11,317	12,100	12,450
25.4 Operation and maintenance of facilities.....	375	400	425
25.7 Operation and maintenance of equipment.....	8,286	11,084	11,339
26.0 Supplies and materials.....	1,539	1,110	1,260
31.0 Equipment.....	1,805	3,017	2,514
32.0 Land and structures.....	87	0	0
99.0 Total obligations.....	\$ 192,366	\$ 195,542	\$ 198,158
<i>Subtotal, PC&B.....</i>	<i>89,926</i>	<i>92,173</i>	<i>93,147</i>
<i>Subtotal, non-labor.....</i>	<i>102,440</i>	<i>103,369</i>	<i>105,011</i>
Full-Time Equivalents (FTE).....	1,143.0	1,180.0	1,180.0

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)

	<u>Obligations</u>
FY 2020 Current.....	\$ 6,452
FY 2021 Budget.....	<u>10,086</u>
Net Change.....	\$ 3,634

The FY 2021 budget includes an estimated \$10,086 thousand in obligations for the National Archives Gift Fund, an increase of \$3,634 thousand compared to FY 2020 estimated obligations of \$6,452 thousand. FY 2021 obligations include large exhibitions, initiatives with legislative archives, and funding for the declassification and digitization of records of the Obama Library.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Current	FY 2021 Budget
Unobligated balance carried forward.....	\$ 3,525	\$ 4,770	\$ 3,507
Recoveries of prior-year obligations.....	\$ 15	\$ 10	\$ 10
New mandatory authority:			
Mandatory Appropriation.....	\$ 5,112	\$ 5,179	\$ 10,126
Unexpired unobligated balance, end of year.....	-\$ 4,770	-\$ 3,507	-\$ 3,557
Total obligations.....	\$ 3,882	\$ 6,452	\$ 10,086
<i>Net outlays</i>	\$ 3,374	\$ 5,323	\$ 9,285

National Archives and Records Administration
National Archives Gift Fund

Obligations by Object Classification
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Current	FY 2021 Budget
21.0 Travel and transportation of persons.....	\$ 22	\$ 59	\$ 48
22.0 Transportation of things.....	27	9	9
23.3 Communications, utilities, and misc. charges....	0	0	0
24.0 Printing and reproduction.....	68	306	200
25.2 Other services from non-Federal sources.....	943	2,703	7,047
25.3 Other goods & services from Federal sources...	898	670	402
26.0 Supplies and materials.....	63	740	646
31.0 Equipment.....	254	165	14
32.0 Land and structures.....	44	30	0
33.0 Investments.....	843	1,050	1,000
94.0 Financial Transfers.....	720	720	720
99.0 Total obligations.....	\$ 3,882	\$ 6,452	\$ 10,086

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: reproductions of records, publications, and merchandise. Additionally, the Trust Fund collects royalties from partnership agreements, investment income, and admission fees to Presidential Library museums.

Reproduction of Records: The Trust Fund provides for sales to the public of reproductions of records in multiple formats, including documents, photographs, maps, motion pictures, and Automatic Data Processing (ADP) tapes.

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 and provides for the operation of several Library museum stores in facilities across the country.

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.

National Archives and Records Administration
National Archives Trust Fund

Explanation of Changes
(Dollars in Thousands)

	<u>FTE</u>	<u>Obligations</u>
FY 2020 Current.....	62.0	\$ 17,010
FY 2021 Budget.....	<u>62.0</u>	<u>15,428</u>
Net Change.....	0.0	-\$ 1,582

The FY 2021 budget includes an estimated \$15,428 thousand in obligations for the National Archives Trust Fund, a net decrease of -\$1,582 thousand from FY 2020 estimated obligations of \$17,010 thousand. Included in the FY 2021 budget is an increase of \$36 thousand to increase awards spending to 2.5% of annual salaries.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Current	FY 2021 Budget
Unobligated balance carried forward.....	\$ 5,721	\$ 4,162	\$ 5,341
Unobligated balance, precluded from obligation.....	\$ 0	-\$ 92	-\$ 151
Recoveries of prior-year obligations.....	\$ 444	\$ 775	\$ 775
New mandatory authority:			
Collections from Federal and Non-Federal sources	\$ 14,665	\$ 17,031	\$ 15,690
Change in unfilled customer orders	\$ 41	\$ 0	\$ 0
Joint Committee Sequestration ¹	-\$ 92	-\$ 59	-\$ 59
New Discretionary authority.....	\$ 14,614	\$ 16,972	\$ 15,631
Unexpired unobligated balance, end of year.....	-\$ 4,070	-\$ 5,190	-\$ 6,789
Unobligated balance, precluded from obligation.....	[92]	[151]	[210]
Total obligations.....	\$ 16,709	\$ 16,627	\$ 14,807
<i>Net outlays</i>	<i>\$ 1,378</i>	<i>\$ 0</i>	<i>\$ 0</i>

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 were reduced by an estimated 6.2 percent in FY 2019, and an estimated 5.9 percent in FY 2020 and FY2021.

Obligations by Object Classification
(Dollars in Thousands)

	FY 2019 Actual	FY 2020 Current	FY 2021 Budget
11.1 Full-time, permanent.....	\$ 3,369	\$ 3,560	\$ 3,616
11.3 Other than full-time permanent.....	102	89	91
11.5 Other personnel compensation.....	181	174	177
12.1 Civilian personnel benefits.....	1,333	1,424	1,446
21.0 Travel and transportation of persons.....	87	124	110
22.0 Transportation of things.....	103	178	173
23.2 Rental payments to others.....	0	0	0
23.3 Communications, utilities, and misc. charges....	46	100	100
24.0 Printing and reproduction.....	330	340	330
25.1 Advisory and assistance services.....	33	38	30
25.2 Other services from non-Federal sources.....	3,120	3,334	2,500
25.3 Other goods & services from Federal sources...	1,332	1,072	975
25.4 Operation and maintenance of facilities.....	166	164	162
25.7 Operation and maintenance of equipment.....	260	244	217
26.0 Supplies and materials.....	820	970	910
31.0 Equipment.....	209	285	276
32.0 Land and structures.....	0	0	0
33.0 Investments.....	5,218	4,531	3,694
99.0 Total obligations.....	\$ 16,709	\$ 16,627	\$ 14,807
<i>Subtotal, PC&B.....</i>	<i>4,985</i>	<i>5,247</i>	<i>5,330</i>
<i>Subtotal, non-labor.....</i>	<i>11,724</i>	<i>11,380</i>	<i>9,477</i>
Full-Time Equivalents (FTE).....	58.0	62.0	62.0

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*National Archives and Records Administration
Benefits of Electronic Government (E-Gov) Initiatives*

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 by NARA. Service fees represent fees NARA pays 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 2020	FY 2021
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.	\$ 6,295 service fee	\$ 6,592 service fee
		\$ 3,858 service fee Revolving Fund	\$ 4,041 service fee Revolving Fund
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.	\$ 12,938 service fee	\$ 12,938 service fee
		\$ 12,937 service fee Revolving Fund	\$ 12,937 service fee Revolving Fund

*National Archives and Records Administration
Benefits of Electronic Government (E-Gov) Initiatives*

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 2020	FY 2021
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.	\$ 174,488 service fee	\$ 174,488 service fee
		\$ 102,477 service fee Revolving Fund	\$ 102,477 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.	\$ 28,000 agency contribution	\$ 28,000 agency contribution
Freedom of Information Act Portal	The National FOIA Portal improves overall FOIA administration, providing citizens with a single site to submit electronic request for records from any agency.	\$ 65,385 agency contribution	\$ 65,385 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, 2019). 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 Act (P.L. 114-113).

The NARA OIG conducts independent audits, investigations, and other reviews that present findings 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 2021 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 <https://www.archives.gov/files/oig/reports/nara-oig-sar-fy19b-april-september-2019.pdf>

Management Challenge	NARA Actions
<p>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. Given identified problems with the ERA Base System, with regards to reliability, scalability, usability, and costs, ERA faces many challenges to meet predicted growth in amount and diversity of digital materials NARA will have to preserve.</p>	<p>The FY 2021 budget for NARA <u>Operating Expenses</u> continues funding (within the base) for the development of ERA 2.0. In FY 2020, NARA will fix and re-factor current capabilities, as well as adapt and expand new capabilities to meet the expected demands of a rapidly growing backlog of digital material – addressing key findings of the OIG.</p> <p>In FY 2020, ERA 2.0 will also subsume some legacy IT systems, continue migration of the ERA Base System to NARA’s sole repository for scheduling, disposition, transferring, processing, and long-term storage and preservation of all electronic archival records.</p>

Management Challenge	NARA Actions
<p>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.</p> <p>The Presidential Memorandum <i>Managing Government Records</i> and OMB Memorandum M-19-21, <i>Transition to Electronic Records</i>, establishes new goals for electronic recordkeeping to support government-wide efforts to transition to a fully electronic (paperless) Government. NARA 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.</p>	<p>The FY 2021 budget for NARA <u>Operating Expenses</u> includes funding to support government-wide policy, oversight, and training in records management for other Federal agencies to meet the M-19-21 government-wide directive to manage all permanent records in electronic format by December 31, 2022.</p> <p>In FY 2020, NARA will further develop standard business requirements and continue to work with GSA to develop new contract vehicles to support agencies' acquisition of new electronic records management systems.</p>
<p>3. Information Technology Security: Annual assessment of NARA's compliance with the Federal Information Security Management Act (FISMA) has consistently identified material weaknesses and program areas in need of significant improvement. 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.</p>	<p>The FY 2021 budget for <u>Operating Expenses</u> includes funding to support continuous monitoring of NARA IT systems and networks, and to implement NIST standards for continuous monitoring of IT security risks.</p> <p>To ensure an effective information security program, NARA fully implemented HSPD-12 controls over logical access to NARA IT systems and data, and will modernize system platforms for High-Value Assets (HVAs).</p> <p>In FY 2020 NARA will improve management of its cloud computing environment and focus on ensuring the security of agency network, other applications, and sensitive data.</p>

Management Challenge	NARA Actions
<p>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.</p> <p>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.</p> <p>Approximately 20 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.</p>	<p>NARA will continue to digitize records within the FY 2021 request for <u>Operating Expenses</u> and through no-cost arrangements with private sector partners. The <u>Operating Expenses</u> request also includes funding to provide military separation documents to all veterans and their families at no cost, and support veterans' access to records necessary to obtain veterans' benefits.</p> <p>NARA continues to dedicate funding in the FY 2021 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 2014, NARA has increased the percentage of traditional holdings processed from 68% to 81% of total traditional holdings at the end of FY 2019. This progress was made despite a 15% increase in holdings over the period.</p> <p>In FY 2020, NARA will begin implementing the Electronic Records Initiative. Once fully implemented, NARA expects to digitize 8-12 million pages of textual records and 150 TB of audio, video, and film records each year. This is in addition to the digitization work already being done in our digitization labs, custodial units, and by external partners. NARA will also begin research and development to modernize on-line digital public access with the implementation of adaptive search finding aids that will customize search results for National Archives Catalog (NAC) users.</p>

Management Challenge	NARA Actions
<p>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 appropriate storage requirements for electronic data storage.</p>	<p>The FY 2021 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.</p> <p>The FY 2021 <u>Operating Expenses</u> budget includes funding to continue development of ERA 2.0, which will provide scalable, cloud-based storage for electronic archival records. Through development of a tiered storage strategy NARA will manage various classes of records based on their access need and type. Upon migration to and decommission of the legacy ERA Base System, all users (internal and external) will be able to use ERA 2.0 for scheduling and records transfer activities.</p>
<p>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.</p>	<p>The FY 2021 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.</p> <p>Upon completion of the FY 2020 Electronic Records Initiative, NARA will establish a modernized special media lab dedicated to the preservation and digitization of our most at risk records (audio, video, and modern picture film records).</p>

Management Challenge	NARA Actions
<p>7. Improving Project and Contract Management: NARA is challenged with planning projects, developing adequately defined requirements, analyzing and testing requirements to support acquisition and deployment of systems, and providing oversight to ensure effective or efficient results within costs. NARA is also challenged to continue strengthening its acquisition workforce and improving oversight of contractors.</p> <p>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 the ERA Base System.</p>	<p>The FY 2021 budget for <u>Operating Expenses</u> includes funding for program and project managers, as well as continuous certification and training for existing and aspiring project and program managers. NARA's Chief Information Officer has substantially improved Management involvement in IT projects and has established IT Program Manager positions to provide greater oversight over individual IT projects and contractors.</p> <p>In FY 2020, the Office of the Chief Acquisition Officer will continue to promote effective contract management, including improved communications between Contracting Officers and Contracting Officer's Representatives (COR), ensuring CORs receive proper training.</p>
<p>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 is challenged to operate in an environment where new threats emerge and adversaries are continuously adapting.</p>	<p>The FY 2021 budget for <u>Operating Expenses</u> 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.</p> <p>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 2021 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.</p> <p>In FY 2020, NARA will continue modernization of control systems for physical and logical access. NARA has fully implemented HSPD-12 controls over logical access to NARA IT systems and data.</p>

Management Challenge	NARA Actions
<p>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.</p>	<p>To aligning NARA’s human capital management strategy with key elements of the Office of Personnel Management’s Human Capital Framework, the FY 2021 budgets for <u>Operating Expenses</u> and the <u>Records Centers Revolving Fund</u> include funding aimed at strengthening the Agency’s human capital management program.</p> <p>To address findings by the OIG, NARA migrated to a new shared services provider for human resources services in FY 2019. NARA made progress in FY 2019 addressing outdated policies, but there are still several policies that need to be revised and re-issued.</p>
<p>10. Enterprise Risk Management: NARA has not fully implemented an Enterprise Risk Management program that clearly identifies, prioritizes and manages risks. Its internal controls program is not fully effective. NARA is vulnerable to unforeseen risks and does not have the capability to effectively identify, manage, and mitigate critical agency risks.</p>	<p>The FY 2021 budgets for <u>Operating Expenses</u> and the <u>Records Centers Revolving Fund</u> include funding for 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.</p> <p>NARA is focused on risk management and enhancement of systems, applications, and infrastructure through mitigation, modernization, and migration. In FY 2020, NARA will integrate the internal controls program into the Enterprise Risk Management system, required by OMB Circular A-123, to enhance data security, expand agency decision level capabilities, and improve core operations and quality assurance.</p>

National Archives and Records Administration

**FY 2021 ANNUAL PERFORMANCE PLAN and
FY 2019 ANNUAL PERFORMANCE REPORT**

Fiscal Year 2021 Budget Request

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NARA Mission, Vision, and Goals

The National Archives and Records Administration's (NARA) FY 2018 – FY 2022 Strategic Plan details the actions and outcomes necessary to meet agency Strategic Goals. NARA's Annual Performance Plan lists the performance objectives and measures that NARA uses to evaluate performance 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 lower-priority program activities, as required by 31 U.S.C. § 1115(b) (10). NARA received no aid from non-Federal parties in preparing this plan.

Performance by Strategic Goal

Make Access Happen

Make Access Happen affirms that “public access” is NARA’s core mission and is a higher calling that gives purpose and meaning to all our work. We are reaching beyond the traditional role of making records available for others to discover and we are instead making access happen by delivering increasing volumes of electronic records to the American public online, using flexible tools and accessible resources that promote public participation. In order to achieve success in this goal, NARA must digitize millions of records we hold in analog formats, keep pace with the continuous stream of new records we receive each year, and develop new ways to help citizens find our records through the online National Archives Catalog.

Objective: *By FY 2021, 82 percent of NARA holdings will be processed to enable discovery and access by the public.*

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. NARA’s processing measure is 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.

<i>Performance Measure</i>	<i>Year</i>	<i>2016</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>
Percent of archival holdings processed	<i>Target</i>	>72%	78%	79%	80%	81%	82%
	<i>Actual</i>	76%	85%	87%	89%		
Total number of archival holdings processed	<i>Target</i>	—	—	—	—	—	
	<i>Actual</i>	3.8M	4.3M	4.5M	4.8M		

Performance summary: NARA’s goal is to complete basic processing between 12 months to 18 months after receiving new transfers of records to NARA’s legal custody. Through September 2019, NARA has processed a cumulative total of 4.8 million cubic feet of records, exceeding the annual target of 80 percent of total holdings processed.

In FY 2020, NARA will implement new basic processing procedures for analog special media records, adding to existing procedures for textual records. NARA will establish basic processing metrics for each organizational unit with custody over analog records, with quarterly goals and reporting. NARA is currently implementing a new quality control process, which will improve consistency in identifying processing errors and provide managers with feedback on overall processing performance.

Objective: *By FY 2024, NARA will digitize 500 million pages of records and make them available online to the public through the National Archives Catalog.*

Description of measure: NARA has committed to digitize all of its traditional holdings, to make them available to the public online. NARA digitizes archival government records through agreements with private partners, through in-house scanning by archival units and a digitization lab, and through volunteers. NARA measures digitization as the number of pages of traditional archival records that have digital copies available online through the National Archives Catalog. NARA is working to refine this measure to incorporate digitized copies of analog records that don't easily translate into "pages", including audio and video recordings.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Number of pages digitized and made available online through the Catalog	<i>Target</i>	baseline	40M	65M	90M	115M	140M
	<i>Actual</i>	16.5M	36.5M	53.1M	92.6M		

Performance Summary: NARA provides public access to more than 92 million pages of digitized records through the online National Archives Catalog, exceeding the FY 2019 performance goal for this metric. NARA posted 39.5 million pages of archival records in FY 2019, with more than 28 million pages from third-party digitization partners.

In FY 2019, NARA implemented a new process to transfer digitized records on proprietary portable media storage devices to the agency's cloud hosting vendor for upload by the vendor. NARA also de-centralized internal processes for uploading records to the Catalog, allowing archival units across the country to directly upload records as they are digitized.

In FY 2020, NARA will explore additional options to streamline the flow of records from external digitization partners into the National Archives Catalog. NARA will continue to expand and improve the internal upload process for archival units and, by FY 2021, all archival units will directly upload files from their digitization projects to the Catalog to improve the time from digitization to public access.

Objective: *By FY 2025, NARA will provide digital, next-generation finding aids to 95 percent of the holdings described in the National Archives Catalog.*

Description of measure: Finding aids organize and present different records that share a common topic or theme. Researchers use finding aids to search NARA holdings remotely, discover relevant records, and quickly retrieve records when they visit NARA public research rooms. NARA measures next generation finding aids as the number of records series or groups referenced by websites, apps, or other digital tools that draw from the National Archives Catalog through NARA's Application Programming Interface (API), as a percentage of the total records and artifacts described in the National Archives Catalog at the start of the fiscal year.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Percentage of series descriptions in the National Archives Catalog made findable through API-based finding aid products	<i>Target</i>	—	0.5%	1%	3%	89%	90%
	<i>Actual</i>		0%	0%	84%		

Performance summary: In FY 2019, NARA deployed the “record group explorer”, a new finding aid which allows users to discover digital content for all record groups with records available in the National Archives Catalog. The new record group explorer provides members of the public with access to explore and discover 84 percent of NARA’s series-level descriptions.

In FY 2020, NARA plans to develop a collections explorer and a finding aid for the Bureau of Indian Affairs. NARA also plans to prototype a user-generated finding aids tool, which will allow users to create and share their own finding aids.

Connect with Customers

Connect with Customers challenges us to continuously improve customer service, cultivate public participation, and generate new understanding of the importance of records in a democracy. We continuously engage with and learn from our customers: individuals, organizations, and other Federal agencies. We build long-term and strategic customer relationships to ensure our services are valued by our customers and we work together to improve overall efficiency and effectiveness.

Objective: *By FY 2020, 93 percent of customer requests will be ready within the promised time.*

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 as the weighted average of timeliness measures for each of the following customer request types: Written reference requests from the public and from other Federal agencies, items furnished in public research rooms, copies of military separation documents (DD-214), and Freedom of Information Act (FOIA) requests.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Percent of customer requests ready within the promised time	<i>Target</i>	93%	93%	93%	93%	93%	93%
	<i>Actual</i>	95%	91%	96%	97%		

Performance summary: NARA remains committed to providing excellent reference services and timely responses to customer requests, as demonstrated by our success in providing a one-hour turnaround time for in-person requests and responding to written reference requests within 10 business days. NARA continues to exceed its performance goals.

In FY 2020 and FY 2021, NARA expects to make significant improvements in providing timely responses to veterans' requests for copies of their military records. NARA will deploy new technology that will allow for electronic delivery of digitized responses to requests (instead of paper copies sent through the mail). NARA will further automate reference requests by piloting the use of portable imaging technology to scan records in storage bays (instead of moving them to office space and then re-filing them later) and automating mail room operations by using optical character recognition technology to read in data from customer request forms.

Objective: *By FY 2020, NARA will achieve a 90 percent satisfaction rating from participants in museum, outreach, educational, and public programming activities.*

Description of measure: NARA engages with stakeholders through museum exhibits, educational and public programs, online tools and services, and by soliciting public participation in agency activities, such as digitizing and describing archival records. NARA measures public use of agency resources and participation levels to understand the breadth of agency engagement with customers and the public. NARA currently measures customer satisfaction with outreach activities as the percentage of public programs and events that met attendee expectations, based on surveys of attendees.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Percent satisfaction from participants in public engagement activities	<i>Target</i>	90%	90%	90%	90%	90%	90%
	<i>Actual</i>	—	—	94%	94%		

Performance summary: NARA continued to deliver programs driven by common civic literacy and engagement goals in FY 2019. NARA monitors participation and satisfaction levels in online and physical public and education programs to ensure that efforts to engage the public were effective.

Objective: *By FY 2025, NARA will have 1 million records enhanced by citizen contributions to the National Archives Catalog.*

Description of measure: NARA engages with the public in many ways, including through crowdsourcing. NARA uses crowdsourcing to engage citizens in projects that enhance access to our records through scanning, tagging, and transcribing archival records. NARA measures citizen engagement, in part, by counting the number of records enhanced by citizen contributions, including “tagging” to improve searchability and transcription.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Cumulative number of records enhanced by citizen contributors	<i>Target</i>	—	75K	100K	260K	500K	600K
	<i>Actual</i>	—	136K	259K	483K		

Performance summary: NARA has exceeded the target for this goal, and has increased future year performance targets to incorporate better-than-expected performance. NARA exceeded its FY 2019 goal primarily by expanding the use of "citizen archivist missions". Citizen archivist missions are requests that NARA issues to the public, challenging volunteers to tag, transcribe, comment on, or even digitize particular records based on specific, assigned topics. In FY 2019, NARA launched a total of 54 citizen archivist missions. In FY 2020, NARA will make it easier for members of the public to complete citizen archivist missions by using APIs for a more seamless interface between the citizen archivist platform and the National Archives Catalog.

Objective: *By FY 2020, NARA will have policies and processes in place to support Federal agencies' transition to fully electronic recordkeeping.*

Description of measure: NARA's success in meeting its strategic goals and objectives depends on the capability of its customer agencies to transform their programs and systems to support fully-electronic recordkeeping. NARA must enhance its support of Federal agency records management officials with effective policies, modern tools, and new services to support the transition to electronic records. NARA will select specific "milestone" goals to track progress and performance against this objective based on ongoing consultation with OMB.

Performance summary: FY 2019 saw significant progress towards this goal with the release of OMB Memorandum M-19-21, Transition to Electronic Records. This memorandum was jointly signed by the OMB Director and the Archivist of the United States to set interim goals for Federal agencies to transition to fully electronic recordkeeping. M-19-21 requires agencies to manage all permanent records electronically by December 31, 2022 and to either manage temporary records in electronic format or store them in commercial records facilities. M-19-21 also requires NARA to issue updates to records management regulations and guidance to support the Memorandum by September 30, 2020.

NARA issued its first regulation to meet the M-19-21 goal in FY 2019, modifying 36 CFR Chapter 12 to establish standards for digitizing temporary records. New section 36 CFR § 1236 now permits agencies to digitize temporary records in analog formats and destroy the analog originals, subject to the standards and conditions established in the regulation. In FY 2020, NARA intends to issue additional regulations establishing standards for digitizing and destroying analog originals of permanent records. NARA is currently developing standards to ensure image quality and completeness of scanning jobs, as well as metadata standards for digitized permanent records.

Maximize NARA’s Value to the Nation

Maximize NARA’s Value to the Nation recognizes that public access to government information creates measurable economic value, which adds to the enduring cultural and historical value of our records. We are reforming and modernizing records management policies and practices across the Federal government to 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.

Objective: *By FY 2019, NARA will conduct inspections of records management practices at 10 percent of Federal agencies per year, to ensure that Federal email and other permanent electronic records are being managed in an electronic format.*

Description of measure: NARA conducts on-site inspections of other agencies’ records management practices to help those agencies strengthen their recordkeeping programs and ensure that records are being managed appropriately. NARA conducts inspections according to established procedures, publishes findings and recommendations in written reports, and requires agencies to respond with corrective actions that are tracked through completion. NARA measures performance as the count of agencies inspected, assessed, or audited in a fiscal year, as a percentage of the total number of agencies required to complete the annual Records Management Self-Assessment (RMSA) survey. In FY 2019, 259 agencies participated in the RMSA.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Percent of Federal agencies inspected	<i>Target</i>	—	—	10%	10%	10%	10%
	<i>Actual</i>	—	3%	13%	12%		

Performance summary: In FY 2019, NARA completed formal inspections of eight agencies. NARA assessed an additional 13 agencies’ records management policies and practices related to the management of Federal Advisory Committee records. NARA assessed the email management practices of nine independent Federal agencies, including the implementation of records retention schedules and compliance with requirements for the use of email and email management systems. In FY 2020, NARA will begin systems audits of agency electronic records management and email systems.

Objective: *By December 31, 2022, NARA will, to the fullest extent possible, no longer accept transfers of permanent or temporary records in analog formats and will accept records only in electronic format and with appropriate metadata.*

Description of measure: NARA has identified the critical need to transition Federal recordkeeping to a fully-electronic environment to promote efficiency, increase access to information, and allow NARA and Federal agencies to focus resources on meeting the challenges of managing electronic records. NARA will select specific “milestone” goals to track progress and performance against this objective based on ongoing consultation with OMB.

Performance summary: In FY 2019, OMB and NARA jointly issued Memorandum M-19-21, *Transition to Electronic Records*. M-19-21 includes NARA’s goal to stop accepting analog records in 2022 and incorporates NARA’s strategic objective into government-wide policy.

In FY 2019, NARA continued enhancements of its next-generation repository for archival electronic records, the Electronic Records Archive (ERA) 2.0. NARA expanded the archival processing tools available to assist users in processing and preserving electronic archival records and expanded the number of NARA staff using ERA 2.0 to conduct routine processing of electronic records. NARA is currently integrating workflow management tools into ERA 2.0 to assist in maintaining intellectual controls over work-in-progress records and connecting transfers of electronic records from agencies to documentation supporting the transfer, including records schedules. NARA is also integrating two-factor authentication tools to control access to ERA 2.0 and better ensure the integrity of the records stored there.

Objective: *By FY 2025, at least 15 external sources will be using NARA data sets from the National Archives Catalog as a primary source.*

Description of measure: NARA collaborates with stakeholders, the public, and private organizations to make historical records available to the public. NARA currently delivers large sets of records to the public through third-party websites, including Wikipedia, the Digital Public Library of America, and non-profit genealogy sites. NARA measures performance by counting the number of third-party organizations or platforms that provide public access to NARA records through – or that originate from – the National Archives Catalog.

<i>Performance Measure</i>	<i>Year</i>	<i>2016</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>
Number of platforms that use NARA records as part of their business model	<i>Target</i>	—	3	4	22	26	27
	<i>Actual</i>	—	15	21	25		

Performance summary: In FY 2019, NARA identified new platforms incorporating NARA records and data through their external platforms using the National Archives Catalog API. NARA continued to make improvements to the National Archives Catalog API and is scheduled to complete a second version in FY 2020. This new version will make it significantly easier for external platforms to reuse NARA’s data. In FY 2020 and FY 2021, NARA will continue to promote and encourage existing and potential new external platforms to leverage the API for reuse of NARA’s data.

Build our Future through our People

Build our Future through our People is our commitment to provide all our employees with learning and leadership opportunities necessary to successfully transition to a digital environment. We are dedicated to empowering our employees to engage in their work, innovating to improve our work processes and products, and becoming the next generation of leaders. We are building an inclusive, empowering workplace culture that connects employees with the agency mission. We are developing a diverse workforce with the skills necessary to fulfill our mission.

Objective: *By FY 2020, 40 percent of NARA staff at all grade levels will have participated in a formal leadership development program activity to support the agency's effort to build an agency of leaders.*

Description of measure: NARA must have a cadre of skilled leaders – in supervisory and non-supervisory positions – in order to effectively transition to a fully-electronic environment. NARA invests in leadership development activities to ensure the agency has a diverse pool of competent leaders with appropriate technical skills and experience. NARA measures performance as the number of employees who participated in one of a specific list of formal leadership development program activities in the past five years, as a percentage of employees on-board at the end of the fiscal year.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Percent of staff who participated in a leadership development activity	<i>Target</i>	—	baseline	35%	37.5%	40%	40%
	<i>Actual</i>	—	32.5%	39.3%	46%		

Performance summary: In FY 2019, three cohorts participated in NARA's Supervisor Development Program (SDP). NARA's SDP is a year-long program that combines instruction and experiential learning for new supervisors. To date, twenty percent of supervisors have completed the program with a fourth cohort scheduled for completion in FY 2020. In FY 2020, NARA will deploy a supervisor refresher program to introduce new material and incorporate lessons learned from cohort experiences. The supervisor refresher will be an annual requirement for all managers and supervisors.

Objective: *By FY 2020, 85 percent of NARA positions will be filled within 80 days.*

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 recruit" model established by the Office of Personnel Management. NARA measures performance as the percent of recruitment actions completed within 80 days from the hiring manager's initial recruitment request to the employee's formal offer of employment with the agency.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Percent of NARA positions filled within 80 days	<i>Target</i>	45%	55%	65%	75%	85%	85%
	<i>Actual</i>	53%	40%	48%	32%		

Performance summary: In FY 2019, NARA successfully transitioned to the Department of Treasury, Bureau of the Fiscal Service, Administrative Resource Center (ARC), a third-party human resources shared service provider who provides NARA staff with staffing and classification services among several other services. Our shared services approach is designed to address NARA’s challenges in staffing and recruitment, modernize our personnel practices, and improve customer service. During this transition, NARA staffing specialists worked to complete existing vacancies by the end of the fiscal year while the new provider managed new vacancies. NARA expects that the service provider will complete 85 percent of hiring actions within the 80-day model in FY 2020.

Objective: *By FY 2020, 95 percent of NARA positions will have clear and achievable career paths for NARA employees.*

Description of measure: NARA must have a motivated workforce that is organized into effective work units in order to achieve the agency’s mission and goals. NARA staff must see reasonable and achievable paths to rewarding and productive careers in order to engage in their work and build an inclusive workplace. NARA measures performance against this objective as the number of employees covered by authorized staffing plans and placed on standardized position descriptions with clearly defined promotion potential and career progression opportunities.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Percent of NARA positions with career paths	<i>Target</i>	—	35%	48%	90%	95%	95%
	<i>Actual</i>	15%	36%	48%	48%		

Performance summary: NARA did not realize progress against this goal in FY 2019. The migration to a human resources shared services provider delayed development and implementation of career paths for NARA staff. NARA was not able to revise position descriptions or analyze positions and organizational structures while planning and executing the shared services migration. In FY 2020, NARA will re-double its efforts to develop and implement meaningful career paths for 95 percent of positions.

Objective: *By FY 2020, NARA will have a career development program in place to support NARA’s transition to electronic records.*

Description of measure: NARA must ensure employees are prepared to transition to a fully electronic environment and are prepared to support other agencies with new tools, guidance, and expertise. NARA must provide a robust career development program consisting of training and experiential learning that allows all employees to identify and plan for career growth opportunities and develop competencies. NARA metrics and goals for this objective are currently under development

Performance summary: Milestones and targets for this measure are still being developed. NARA will support this effort by using workforce analysis to identify skill profiles for each employee in the future.

In FY 2020 and FY 2021, NARA will focus on the creation of a robust career development program. This effort will require NARA to assess employee skill gaps in areas of technology competency and provide mapped resources to help close those gaps. NARA will examine ways to offer training opportunities and structured assignments to build digital skills. We will expand opportunities for staff to practice skills needed for the future and integrate key digital skills into work assignments, duties, and responsibilities.

Federal Records Management Programs

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

OMB/NARA Memorandum, Transition to Electronic Records (M-19-21)

On June 28, 2019, OMB and NARA issued a pivotal joint memorandum Transition to Electronic Records (M-19-21). This memorandum directs all Federal agencies to ensure that all Federal records are created, retained, and managed in electronic formats, with appropriate metadata.

M-19-21 supersedes the goals established in the 2012 Managing Government Records Directive (M-12-18). M-19-21 incorporates the key goals from that earlier memo and builds upon them with objectives that further drive the executive branch to all-electronic recordkeeping. Specifically, by December 31, 2022, all Federal agencies subject to the Federal Records Act will:

- Manage all permanent records in an electronic format and with appropriate metadata, and
- Manage all temporary records in an electronic format or store them in commercial records storage facilities.

Since the release of M-19-21, NARA staff conducted numerous briefings and presentations to communicate the latest guidance to agencies. In August, the Archivist of the United States hosted a meeting for Senior Agency Officials for Records Management (SAORM) to discuss the memorandum. In addition, NARA included M-19-21 as the main topic at the Agency Services Bimonthly Records and Information Discussion Group (BRIDG) meeting with the Federal records management community.

Office of the Chief Records Officer Outreach Activities (FY 2019)

NARA conducted approximately 90 briefings and presentations on Federal recordkeeping during the fiscal year. Audiences included Federal agency officials, Federal records managers, professional organizations, members of the press, and foreign archivists. Outreach activities were mainly conducted in the Washington, D.C. area.

The Chief Records Officer for the U.S. Government and his senior staff met with individual SAORMs and their staff to discuss records management issues and activities within their organizations. These face-to-face meetings were held with Department of Labor, National Mediation Board, National Endowment for the Humanities, Office of Personnel Management, and the Social Security Administration.

NARA hosted four Bimonthly Records and Information Discussion Group (BRIDG) meetings and four Federal Records Management Council (FRMC) meetings. NARA staff also presented at several agency-sponsored records management events, including the Office of the Director of National Intelligence (ODNI) community-wide records management event in April, the 2019 Department of Energy Cyber Conference, and the Treasury RIM Summit.

One specific engagement strategy was related to Federal records management and Microsoft

Office 365. In FY 2019, NARA transitioned the Electronic Records Management Automation Working Group to an Office 365 user group. Most Federal agencies are in the process of implementing Microsoft Office 365 and have many questions about how to implement records management. NARA will continue to host this monthly user group of more than 30 agencies to address challenges in FY 2020.

NARA staff presented at events sponsored by records management related organizations, to engage with the professional records and archives communities. The Chief Records Officer or his staff spoke at the annual meetings for the Council of State Archivists (CoSA), National Association of Government Archives and Records Administrators (NAGARA), and the Society of American Archivists (SAA). NARA staff presented at Washington, D.C.-based vendor-sponsored events. NARA staff also presented at various information-governance related events, such as the 2019 Department of Defense (DOD) and Federal Knowledge Management Symposium, the General Counsel's Exchange, the Department of Homeland Security (DHS) Procurement Law Symposium, and the Office of Management and Budget (OMB) Chief Data Officers Orientation. Combined, these events reached thousands of records and information management professionals.

NARA Strategic Plan (2018-2022) Progress

In FY 2019, NARA made significant progress on an agency strategic objective to have policies and processes in place to support Federal agencies' transition to fully electronic recordkeeping by FY 2020. NARA continued progress on an initiative to support Federal-wide electronic records management (ERM) policy and acquisition strategies, and completed a regulation on digitizing temporary records.

NARA supported Federal agencies' transition to electronic recordkeeping by continuing the efforts of the [Federal Electronic Records Modernization Initiative](#) (FERMI). Through FERMI, NARA advocates for improved procurement processes that help agencies obtain needed ERM solutions and services.

Accomplishments in FY 2019 included:

- Continued work with GSA to increase agency use of Schedule 36, Special Item Number, 51-600, Electronic Records Management Solutions by assisting 14 agencies with their statements of work and market research.
- Partnered with GSA to create two new product service codes for physical and ERM solutions. These codes will enable government-wide tracking of records management spending.
- Coordinated with GSA to include [Universal Electronic Records Management Requirements](#) in the New Pay initiative for a payroll shared services, providing a common solution for all agencies to manage these records.
- GSA and NARA created a market research tool at discovery.gsa.gov to help agencies find solutions that meet the Universal ERM Requirements.

NARA issued a regulation for digitization of temporary records effective on May 10, 2019. The regulation provides standards for digitizing and validating temporary Federal records where agencies may dispose of original source records in accordance with a NARA-approved disposition authority.

In FY 2019, NARA published two digitization products:

- In April, NARA issued a new regulation for digitizing temporary records (36 CFR Chapter XII, Subchapter B, Part 1236, [Subpart D](#)). This regulation provides standards for digitizing and validating temporary records so that agencies can destroy the original source records, according to a NARA-approved disposition authority, and use the digital versions for the same purposes and periods of time. These are high-level standards that allow agencies flexibility in deciding how to use digitization as part of their transition to electronic recordkeeping. NARA is developing another regulation for digitizing permanent records. This more technical regulation will be published in FY 2020.
- In May, NARA published [cost-benefit analysis products](#) related to digitization. NARA supported and coordinated the Federal Records Management Council (FRMC) Digitization Cost-Benefit Analysis working group. This working group developed cost-benefit analysis products that provided practical support for the business decision of when or when not to digitize Federal records. The products include a pricing chart summarizing price ranges observed on various vendors' GSA Schedule 36 for Special Item Number 51 506 - Document Conversion. The sample calculation tools will enable an agency to determine estimated costs for digitizing Federal records.

NARA Research on Emerging Electronic Records Management Technologies

NARA issued a Blockchain white paper that focused on fundamental records management concerns such as the existence of records on a Blockchain, records authenticity and integrity, records scheduling, and records transfer and accession to NARA.

Records Management Policy and Standards

NARA continued its participation in the International Organization for Standardization (ISO) technical committees ISO/TC 46/SC 11 (archives/records management) and ISO/TC 171 (document management applications).

NARA served on a committee to draft and revise the standard *ISO 30301:2019 Information and documentation — Management systems for records — Requirements*, which was published in February. This standard specifies requirements to be met by a management system for records (MSR) in order to support an organization in the achievement of its mandate, mission, strategy and goals. The standard addresses the development and implementation of a records policy and objectives and provides information on measuring and monitoring performance.

Additionally, NARA served on the advisory board of the *Review, Appraisal, and Triage of Mail* (RATOM) project funded by a grant from the Andrew W. Mellon Foundation. This project extends the email processing capabilities to identify and report on entities present within emails and email attachments; identify materials requiring redaction or review; and developing software modules to assist with preparation of materials for release or public access. NARA also participated on the Mellon Foundation grant funded *Archiving Email into PDF Containers* project

to identify the essential characteristics and optimal functional requirements of email messages and necessary related information in a PDF technology-based archive.

Records Scheduling and Appraisal

- **Capstone Approach.** NARA's General Records Schedule (GRS) 6.1, Email Managed under a Capstone Approach, provides disposition authority for agencies implementing a Capstone approach to email management. In FY 2019, NARA approved 36 disposition requests for email managed under a Capstone approach, bringing the total to 194. An approved disposition authority is a critical component to managing email successfully in a Federal agency.
- **Records Scheduling Backlog Project.** NARA defines its backlog of schedules as those that have been submitted more than two fiscal years prior. At the start of the fiscal year the number of backlog schedules was 69, which was an increase from last year's backlog of 58. NARA will continue to prioritize reducing the number of backlog schedules. In FY 2019, NARA closed 356 schedules.
- **General Records Schedules.** NARA continued to work on minor revisions and additions to the GRS. These updates are expected to be issued in early FY 2020

Records Management Oversight and Reporting

Federal Agency Records Management Annual Report 2018. This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA. In 2019, NARA required three related but separate submissions: a Senior Agency Official for Records Management (SAORM) Report, a Federal Email Management Report, and the Records Management Self-Assessment (RMSA) covering activities in 2018. The report is available at: <https://www.archives.gov/records-mgmt/resources/self-assessment.html>

- **Senior Agency Official for Records Management (SAORM) Report.** This submission included responses from high-level officials about the progress of their agency or agencies towards the targets and requirements in the Managing Government Records Directive (M-12-18), jointly issued by the Office of Management and Budget (OMB) and the National Archives and Records Administration (NARA) on August 24, 2012. M-12-18 was rescinded by the joint OMB/NARA memorandum M-19-21. NARA will begin reporting on progress for this new guidance in FY 2020. For individual reports see: <https://www.archives.gov/records-mgmt/resources/saorm-reports>
- **Federal Email Management Report.** This submission required agency records officers to assess their individual agency's email management using a maturity model template based on the criteria NARA published in April 2016. For individual reports see: <https://www.archives.gov/records-mgmt/email-management/email-managementreports-2>
- **Records Management Self-Assessment (RMSA).** Agency records officers provided an evaluation of their individual agency's compliance with Federal records management statutes, regulations and program functions. This report has been required since 2010. The individual scores are included as an appendix in the annual report. (See link above).

Records Management Inspections. NARA inspects the records management programs of Federal agencies under the authority of 44 U.S.C. §2904(c)(7) and §2906. In FY 2019, NARA completed inspections of the Department of Health and Human Services, Department of Housing and Urban Development, U.S. Geological Survey, National Oceanic and Atmospheric Administration, Tennessee Valley Authority, Centers for Disease Control, National Aeronautics and Space Administration, and the Department of the Air Force. (NARA's complete inspection reports for these and previous inspections are available at: <https://www.archives.gov/records-mgmt/resources/rm-inspections>.)

Inspections that were initiated in late FY 2019 and will be concluded in the next fiscal year included: Department of State, Department of Education, Department of Defense Joint Staff and Combatant Commands, Disaster Response and Recovery Records of the Federal Emergency Management Agency, U.S. Army Corps of Engineers, U.S. Forest Service and emergency management offices within the Small Business Administration, Department of the Interior and Department of Health and Human Services, Managing Permanent Records by the Defense Intelligence Agency, Federal Communications Commission, U.S. Global Media, U.S. Agency for International Development, and the General Services Administration.

NARA also published the [Summary Report of Inspections of Departmental Federal Records Management Programs 2015-2018](#), which summarized individual inspections conducted of the records management programs for 11 of the 15 executive departments.

Monitoring and Follow-up. In response to inspections, NARA works with agencies to prepare corrective action plans with measurable action items and milestones. NARA monitors progress via agency submitted progress reports until all actions are completed. At the end of FY 2019, NARA was monitoring 28 plans of corrective actions with 202 open items.

Records Management Assessments. An assessment is an evaluation of a specific records management topic, issue or activity affecting records management processes, procedures or policies. Assessments are conducted through on-site meetings, teleconferences, surveys, or any combination as necessary, in accordance with NARA's statutory authority to review agency records management programs (44 U.S.C. §2904(c)). Assessments are useful for both NARA and Federal agency records management programs to quickly assess records and information management practices and inform new ways of thinking about records management guidance, policy, training, and tools. Reports are available at: <https://www.archives.gov/records-mgmt/resources/rm-assessments>

- **Federal Advisory Committee Act (FACA).** NARA conducted an assessment of 13 Federal agencies pertaining to records management policies and practices related to the management of Federal Advisory Committee records, with an emphasis on email management.
- **Email Management at Independent Agencies.** NARA conducted an assessment of nine independent Federal agencies on their email management including their implementation of records retention schedules and requirements for the use of email and email management systems. The purpose of this assessment was to identify implementation progress, barriers encountered, and successes achieved by agencies using non-Capstone, or traditional approaches to email management.

Alleged Unauthorized Disposition of Federal Records

Under 44 U.S.C. §3106 and 36 CFR 1230 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. To support transparency and open government NARA now provides this information online: [Open Cases - Unauthorized Disposition of Federal Records](#) and [Closed Cases - Unauthorized Disposition of Federal Records](#). For information on cases closed prior to fiscal year 2016, see the [Annual Performance and Accountability Report](#) for the desired fiscal year.

NARA Records Management Training for Agencies

NARA's Records Management Training Program conducted 146 courses (including 64 online sessions) and trained over 2,575 agency customers on their records management responsibilities. Included in these numbers are 439 students who completed the requirements for NARA's Certificate of Federal Records Management Training. NARA is transitioning to creating more content online at no cost to customers, which will improve the reach of the program, and customer access to needed content. As a measure of the program's success in FY 2019, 90 percent of all students who completed a course responded that they were highly satisfied with the content and delivery of the training.