
National Archives and Records Administration



NATIONAL
ARCHIVES

FY 2022

CONGRESSIONAL JUSTIFICATION

May 28, 2021

National Archives and Records Administration

SUMMARY of the FY 2022 REQUEST

Fiscal Year 2022 Budget Request

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Summary of the Request

The FY 2022 budget of the National Archives and Records Administration (NARA) requests \$426 million in discretionary appropriations. This is an increase of \$28.2 million from the FY 2021 enacted level. Within the aggregate request, NARA requests \$404 million for the Operating Expenses appropriation, \$5.3 million for the NARA Office of Inspector General, \$7.5 million for the Repairs and Restoration of NARA-owned buildings, and \$9.5 million for the National Historical Publications and Records Commission (NHPRC) Grants Program. NARA's request for Operating Expenses includes \$375 million in one-year funding and \$29 million to be available until expended.

Appropriations Request

(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request	change from FY 2021
Operating Expenses:				
Annual appropriation	\$ 335,000	\$ 365,770	\$ 374,677	+8,907
No-year appropriation	\$ 24,000	\$ 11,230	\$ 29,000	+17,770
Two-year appropriation	\$ 8,100	\$ 0	\$ 0	+0
Net budget authority.....	\$ 367,100	\$ 377,000	\$ 403,677	+26,677
Office of Inspector General	4,823	4,823	5,323	+500
Repairs and Restoration	7,500	9,500	7,500	-2,000
NHPRC Grants Program	6,500	6,500	9,500	+3,000
Total Appropriations Request	\$ 385,923	\$ 397,823	\$ 426,000	+28,177

NARA's request for Operating Expenses is an increase of \$26.7 million and 147 FTE from the FY 2021 enacted level, which is the net of the following program increases and reductions:

- (1) An increase of \$5.5 million for pay and benefit increases. This includes the FY 2022 pay raise (2.7 percent), annualization of the FY 2021 pay raise (1.0 percent), and an increase in the agency contribution rate to the Federal Employee Retirement System (FERS).
- (2) An increase of \$5.1 million for inflationary increases to both NARA Facility Operations costs and other, non-labor costs.
- (3) A reduction of -\$12 million from the following program decreases:
 - -\$10 million in reductions from non-recurring FY 2021 costs associated with the Presidential Transition of electronic and analog records and artifacts. This reduction leaves \$8 million remaining in FY 2022 for the migration of electronic Presidential records into NARAs EOP Cloud, and provides for an additional 3 FTE.

- -\$2 million for the non-recurring FY 2021 Civil Rights Cold Case Initiative.
- (4) An increase of \$28.1 million and 144 FTE to provide for the following program increases:
- A program increase of \$20 million and 144 FTE to advance racial equity and support underserved communities. This request includes funding to address staffing needs across the agency and funds targeted recruitment activities to ensure a diverse pool of applicants. Funding would also provide online, electronic access to one of NARA’s most prominent collections of U.S. Government records associated with underserved communities.
 - A program increase of \$6.6 million to support the required cloud hosting costs for ERA 2.0 and ERA EOP data storage, analysis, and data movement.
 - A program increase of \$1.1 million to support the 1950 Census release. This provides for the digitization of census records and secure cloud-based storage to store approximately 7.4 million images.
 - A program increase of \$0.4 million to relocate 36,217 cubic feet of archival records due to a lease cancellation.

NARA’s request for the Office of Inspector General appropriation is an increase of \$0.5 million, which is the net of pay and benefits adjustments, and an increase to funding for oversight and independence of the OIG.

NARA’s request for the Repairs and Restoration appropriation is a decrease of -\$2 million from the FY 2021 enacted level. This decrease is derived from a reduction in number and scope of building projects NARA will perform in FY 2022.

NARA’s request for the NHPRC Grants Program appropriation is an increase of \$3 million, which would provide for a new grants program to preserve and digitize the records of the creation of HBCUs.

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.

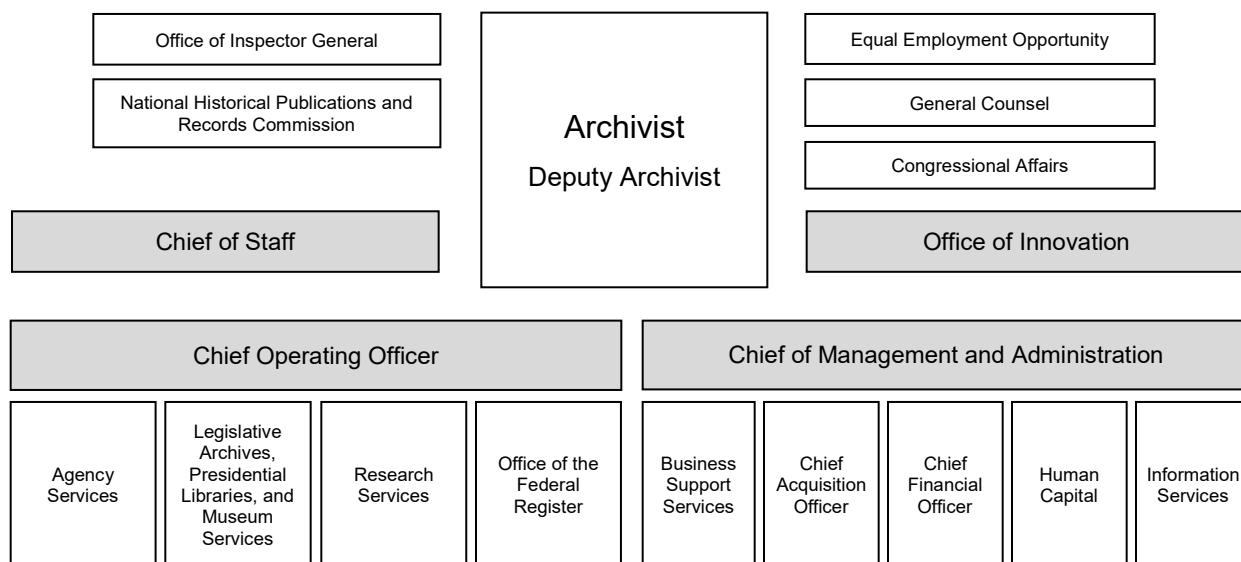
A Customer-Focused Organization.—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.

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.

Summary of Requested Appropriations Action
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
Operating Expenses:			
Legislative, Presidential, and Museum Services	\$ 107,245	\$ 111,177	\$ 111,711
Citizen Services	108,576	117,518	116,353
Agency and Related Services	78,287	81,841	89,168
Facility Operations	50,992	57,234	57,445
Electronic Records Initiative	22,000	9,230	29,000
<i>Net budget authority</i>	\$ 367,100	\$ 377,000	\$ 403,677
Office of Inspector General	4,823	4,823	5,323
Repairs and Restoration	7,500	9,500	7,500
NHPRC Grants Program	6,500	6,500	9,500
Total Appropriations Request	\$ 385,923	\$ 397,823	\$ 426,000
Total Full-Time Equivalents (FTE)	2,764.0	2,848.0	2,995.0

National Archives and Records Administration
 Summary of the FY 2022 Request

Total Discretionary Obligations by Object Classification
 (Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
11.1 Full-time, permanent.....	\$ 137,916	\$ 145,368	\$ 154,513
11.3 Other than full-time permanent.....	361	185	196
11.5 Other personnel compensation.....	1,938	2,644	2,840
11.8 Special personal services payments.....	37	37	40
12.1 Civilian personnel benefits.....	48,992	48,483	51,488
13.0 Benefits for former personnel.....	31	347	369
21.0 Travel and transportation of persons.....	650	705	449
22.0 Transportation of things.....	80	436	1,396
23.1 Rental payments to GSA.....	8,702	8,930	8,930
23.2 Rental payments to others.....	928	2,413	2,528
23.3 Communications, utilities, and misc. charges.....	10,345	11,367	13,733
24.0 Printing and reproduction.....	130	585	615
25.1 Advisory and assistance services.....	9,417	8,960	7,773
25.2 Other services from non-Federal sources.....	26,824	62,550	22,716
25.3 Other goods and services from Federal sources	20,373	34,962	37,134
25.4 Operation and maintenance of facilities.....	32,272	28,843	31,482
25.5 Research and development contracts.....	26	91	91
25.7 Operation and maintenance of equipment.....	36,547	40,518	52,811
26.0 Supplies and materials.....	1,531	2,626	5,240
31.0 Equipment.....	9,849	13,178	15,356
32.0 Land and structures.....	4,970	11,778	8,000
41.0 Grants, subsidies, and contributions.....	5,605	8,171	9,700
42.0 Insurance claims and indemnities.....	329	0	0
43.0 Interest and dividends.....	0	0	0
94.0 Financial transfers.....	0	0	0
99.0 Obligations, appropriated.....	\$ 357,853	\$ 433,177	\$ 427,400
<i>Subtotal, PC&B.....</i>	<i>189,275</i>	<i>197,064</i>	<i>209,446</i>
<i>Subtotal, non-labor.....</i>	<i>168,578</i>	<i>236,113</i>	<i>217,954</i>

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

National Archives and Records Administration

OPERATING EXPENSES

Fiscal Year 2022 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, **\$403,677,000**, of which **\$29,000,000** shall remain available until expended for *expenses [improvements]* necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

Analysis of Language Provisions and Changes

NARA proposes modification to the language to permit a broader range of activities to be funded from the multi-year Electronic Records Initiative. This change would expand the scope of the Initiative and allow NARA to bring a combination of base and requested, new funding to support new staffing and address technological challenges preserving, managing, and storing electronic archival records in perpetuity.

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 fifteen 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.
- *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 2021 Enacted Level	1,437.0	\$ 377,000
FY 2022 Appropriation request.....	<u>1,584.0</u>	<u>403,677</u>
Net Change.....	147.0	\$ 26,677
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Maintaining Current Levels:		
Pay Adjustments (Pay Raise and FERS rate increase)		5,475
Inflationary increases in NARA Operations costs	—	<u>5,073</u>
Subtotal, Maintaining Current Levels.....	0.0	\$ 10,548
Program Decreases:		
Non-recur FY 2021 Presidential Transition funding	3.0	-10,000
Non-recur FY 2021 Civil Rights Records funding	—	<u>-2,000</u>
Subtotal, Program Decreases	3.0	-\$ 12,000
Program Increases:		
Advance racial equity and support underserved communities	144.0	20,052
Cloud-Based infrastructure and database costs		6,605
1950 Census Release		1,100
Records Relocation (Fort Worth, Texas leased space)	—	<u>372</u>
Subtotal, Program Increases	144.0	\$ 28,129
Net Change	147.0	\$ 26,677

The FY 2022 budget requests an appropriation of **\$403,677 thousand and 1,584 FTE** for Operating Expenses. This reflects a net increase of \$26,677 thousand and 147 FTE from the FY 2021 enacted level, which is the result of the following changes:

- (1) An increase of **\$10,548 thousand** to maintain current levels:
 - \$5,475 for pay and benefit increases. This includes the FY 2022 pay raise (2.7 percent), annualization of the FY 2021 pay raise (1.0 percent), and an increase in the agency contribution rate to the Federal Employee Retirement System (FERS).
 - \$5,073 for inflationary increases to both NARA Facility Operations costs and other, non-labor costs. This includes critical support to existing IT systems and accounts for the full funding requirement for inflationary adjustments to current programs; inclusive of service contracts, utilities, and rent charges from the General Services Administration (GSA).

- (2) Program reductions totaling **-\$12,000 thousand** and **3 FTE** including:
 - -\$10,000 thousand in reductions from non-recurring FY 2021 costs associated with the Presidential Transition of electronic and analog records and artifacts. This reduction leaves \$8,000 thousand remaining in FY 2022 for the migration of electronic Presidential records into NARAs EOP Cloud, and staff necessary to ensure the security and proper management of Presidential records for future public access. This reduction is net of adding an additional 3 FTE to support Presidential Transition.
 - -\$2,000 thousand for the non-recurring FY 2021 funding for the operating expenses of the Civil Rights Cold Case Review Board. NARA received no-year funding for this initiative in both FY 2020 and FY 2021; however, no members have been appointed to the Civil Rights Cold Case Review Board. NARA would request additional funds for this initiative once the Board is established and it has expended its current, available balance.

- (3) An increase of **\$28,129 thousand** and **144 FTE** to provide for the following program increases:
 - A program increase of \$20,052 thousand and 144 FTE to advance racial equity and support underserved communities. This request includes funding to address staffing needs across the agency and funds targeted recruitment activities to ensure a diverse pool of applicants to help increase the diversity of NARA's workforce. Funding would also provide online, electronic access to one of NARA's most prominent collections of U.S. Government records associated with underserved communities.
 - A program increase of \$6,605 thousand to support the required cloud hosting costs for ERA 2.0 and ERA EOP data storage, analysis, and data movement. NARA's costs to store and preserve electronic records increases annually, as NARA receives more electronic archival records from agencies and each Presidential Administration, and digitizes increasing volumes of analog records.

National Archives and Records Administration
Operating Expenses

- A program increase of \$1,100 thousand to support the 1950 Census release. This provides for the digitization of census records and secure cloud-based storage to store approximately 7.4 million images.
- A program increase of \$372 thousand to relocate over 36,000 cubic feet of archival records due to a lease cancellation. NARA currently leases warehouse space from the General Services Administration in Fort Worth, Texas to store these records.

Equitable Access to History

NARA's budget request includes **\$20 million** and **144 FTE** in Operating Expenses to advance racial equity by digitizing, describing, and providing free, online access to U.S. Government records that document the history of underserved and underrepresented communities in America. NARA's request includes \$13 million for technology investments to support digitization and online digital access to significant volumes of archival records. An additional \$7 million and 144 FTE provides for the targeted recruitment of up to 144 new, permanent Federal employees to perform the work of scanning, arranging, and describing records for online access. NARA would consult and partner with Native American tribes, Historically Black Colleges and Universities (HBCU), and other institutions representing underrepresented communities to select records collections of the greatest impact, and to recruit diverse candidates and perspectives to fill vacancies requested in this initiative.

This initiative provides direct support to Executive Order 13985, Advancing Racial Equity and Support for Underserved Communities Through the Federal Government. American history provides the lessons and the inspirations for the future of our Country. The history that NARA makes freely available to the American public has been limited by constrained resources, technology, and the past bias of those who recorded our history.

NARA is requesting additional resources to focus on identifying, digitizing, and making publicly available U.S. Government records that fill in gaps in the popular narratives of American history. The archival records in NARA custody are a vital source of information for all Americans to document their rights, hold their Government accountable, and better understand the history of the United States. Digitizing and making publicly available records that document the history of underserved and underrepresented communities substantially supports the equity goals of the Administration. Our initiative would provide American minorities and people of color with unprecedented access to records necessary to exercise their rights of citizenship, promote accountability for Government decision-making, and illuminate the struggles and contributions of underrepresented communities towards our shared American experience.

NARA requests funding to provide for the systematic digitization of records collections describing the history, rights, and struggles of underrepresented and underserved communities in the U.S. Funding requested in FY 2022 would begin the digitization of one of NARA's most prominent collections of U.S. Government records associated with Native American tribes, digitizing an estimated 90 million pages per year. Once complete, NARA would prioritize the digitization of other records collections that document the history of communities of color. Costs include scanners, cameras, quality control equipment, temporary storage for work-in-progress images, cloud-based storage costs for finished images, and transportation of records for digitization.

This request further promotes E.O. 13985 by promising to recruit candidates from minority and underrepresented communities in order to increase the diversity of NARA's workforce and, in doing so, increase the diversity of the archival profession. This initiative would provide for 144 new Federal employees including 44 archivists; 81 archives technicians; 9 archives specialists; 4 museum technicians, and 6 support staff. This request includes funding for recruitment from HBCUs, so that we can increase the diversity of our workforce.

Presidential Transition

NARA's request includes a \$10,000 thousand reduction from non-recurring one time FY 2021 costs associated with Presidential Transition. Funds provided in FY 2021 were used for the physical transfer and storage of both electronic and textual records. Funding was also used to hire 29 FTE to secure records in the cloud, respond to special access requests, and begin the arduous process of reviewing Presidential records for eventual public access. This reduction leaves \$8,000 thousand remaining in FY 2022 to provide for the ongoing costs associated with the FY 2021 Presidential Transition.

NARA's request includes \$8,000 thousand and 32 FTE to provide for the ongoing costs associated with the FY 2021 Presidential Transition and allow the Archivist of the United States to effectively perform the responsibilities assigned to him by the Presidential Records Act (44 USC §§ 2201–2207).

Funds requested in FY 2022 would provide for the salaries and related expenses of three new hires, as well as the annualization of new FTE provided in the FY 2021 enacted level. NARA's request would provide for 23 archival staff, seven information technology staff, and two management and administrative staff to catalog and describe, screen and process, and provide appropriate access to Presidential records and artifacts in the custody of the National Archives.

Funds requested would also provide for the necessary information technology costs to support and provide access to the electronic records of the Trump administration. This includes funding to maintain control over the electronic records, configure the data center, and necessary cloud storage.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
Unobligated balance, no-year appropriation.....	\$ 431	\$ 448	\$ 448
Unobligated balance, no-year (GPO space).....	\$ 8,673	\$ 8,622	\$ 0
Unobligated balance, no-year (ERI).....	\$ 0	\$ 21,750	\$ 0
Unobligated balance, no-year (Civil Rights space).....	\$ 0	\$ 2,000	\$ 4,000
Unobligated balance, multi-year (CARES Act).....	\$ 0	\$ 2,333	\$ 0
Transfer in from trust fund accounts ¹	\$ 636	\$ 700	\$ 700
Discretionary authority:			
Annual appropriation.....	\$ 335,000	\$ 365,770	\$ 374,677
No-year appropriation (ERI).....	22,000	9,230	29,000
No-year appropriation (Civil Rights)	2,000	2,000	0
No-year appropriation (CARES Act)	8,100	0	0
Total discretionary authority.....	\$ 367,100	\$ 377,000	\$ 403,677
Reimbursable authority:			
New spending authority collected ²	\$ 1,305	\$ 1,495	\$ 1,384
Change in uncollected payments.....	0	0	0
Subtotal, reimbursable authority.....	\$ 1,305	\$ 1,495	\$ 1,384
Unobligated balance, expiring.....	-\$ 383	\$ 0	\$ 0
Unobligated balance, available in future years.....	-\$ 35,153	-\$ 4,448	-\$ 4,448
Unobligated balance, reimbursable.....	\$ 0	\$ 0	\$ 0
Total obligations.....	\$ 342,609	\$ 409,900	\$ 405,761
Obligations, annual appropriation.....	\$ 335,253	\$ 366,470	\$ 375,377
Obligations, no-year (GPO space).....	50	8,622	0
Obligations, no-year appropriation (ERI).....	250	30,980	29,000
Obligations, no-year appropriation (Civil Rights).....	0	0	0
Obligations, two-year appropriation (CARES Act).....	5,767	2,333	0
Obligations, reimbursable.....	1,305	1,495	1,384
<i>Net outlays</i>	\$ 361,404	\$ 376,676	\$ 363,909

1/ NARA anticipates an additional \$700 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 \$1,384 thousand and 27 FTE in FY 2022. Reimbursable services provide for the costs of reproducing archival documents for sale to the public and other, related projects.

National Archives and Records Administration
 Operating Expenses

Obligations by Object Classification
 (Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
11.1 Full-time, permanent.....	\$ 134,924	\$ 142,336	\$ 147,892
11.3 Other than full-time permanent.....	361	185	192
11.5 Other personnel compensation.....	1,797	2,489	2,585
11.8 Special personal services payments.....	37	37	39
12.1 Civilian personnel benefits.....	47,785	47,346	49,173
13.0 Benefits for former personnel.....	31	347	361
21.0 Travel and transportation of persons.....	636	675	425
22.0 Transportation of things.....	80	436	808
23.1 Rental payments to GSA.....	8,702	8,805	8,930
23.2 Rental payments to others.....	928	2,413	2,528
23.3 Communications, utilities, and misc. charges....	10,345	11,367	13,733
24.0 Printing and reproduction.....	130	585	615
25.1 Advisory and assistance services.....	7,435	8,622	7,603
25.2 Other services from non-Federal sources.....	25,751	22,932	22,698
25.3 Other goods & services from Federal sources..	20,350	34,932	35,044
25.4 Operation and maintenance of facilities.....	31,616	28,843	31,482
25.5 Research and development contracts.....	26	91	91
25.7 Operation and maintenance of equipment.....	35,137	40,503	38,641
26.0 Supplies and materials.....	1,464	2,576	3,576
31.0 Equipment.....	6,955	10,950	8,961
32.0 Land and structures.....	434	0	0
42.0 Insurance claims and indemnities.....	329	0	0
43.0 Interest and dividends.....	0	0	0
94.0 Financial transfers.....	0	0	0
99.0 Obligations, annual appropriation.....	\$ 335,253	\$ 366,470	\$ 375,377
<i>Subtotal, PC&B.....</i>	<i>184,935</i>	<i>192,740</i>	<i>200,242</i>
<i>Subtotal, non-labor.....</i>	<i>150,318</i>	<i>173,730</i>	<i>175,135</i>
99.0 Obligations, no-year (GPO space).....	50	8,622	0
99.0 Obligations, no-year appropriation (ERI).....	250	30,980	29,000
99.0 Obligations, no-year appropriation (Civil Rights)	0	0	0
99.0 Obligations, two-year appropriation (Cares Act).	5,767	2,333	0
99.0 Obligations, reimbursable.....	1,305	1,495	1,384
99.0 Total obligations.....	\$ 342,625	\$ 409,900	\$ 405,761
Full-Time Equivalents (FTE) Direct.....	1,441.0	1,437.0	1,584.0
Full-Time Equivalents (FTE) Reimbursable.....	18.0	27.0	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, social media, 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 2020		FY 2021		FY 2022	
	Actual		Enacted		Request	
	FTE	Dollars	FTE	Dollars	FTE	Dollars
1. Legislative, Presidential, and Museum Services:						
Presidential Libraries	359.0	\$90,636	345.0	\$89,155	369.0	\$89,511
Legislative Archives, Presidential Materials, and Public Programs	<u>79.0</u>	<u>14,766</u>	<u>79.0</u>	<u>22,722</u>	<u>79.0</u>	<u>22,900</u>
Subtotal, LPM Services.....	438.0	\$105,402	424.0	\$111,877	448.0	\$112,411
2. Citizen Services:						
Office of Innovation	54.0	\$11,154	59.0	\$12,600	59.0	\$12,605
Research Services	<u>601.0</u>	<u>93,559</u>	<u>651.0</u>	<u>102,918</u>	<u>674.0</u>	<u>103,748</u>
Subtotal, Citizen Services.....	655.0	\$104,713	710.0	\$115,518	733.0	\$116,353
3. Agency and Related Services:						
Agency Services	250.0	\$44,184	210.0	\$46,126	219.0	\$46,608
Electronic Records Archives	34.0	19,064	29.0	23,108	29.0	29,857
Federal Register	<u>64.0</u>	<u>11,345</u>	<u>64.0</u>	<u>12,607</u>	<u>64.0</u>	<u>12,703</u>
Subtotal, Agency and Related.....	348.0	\$74,593	303.0	\$81,841	312.0	\$89,168
4. Facility Operations:						
NARA Facility Operations	0.0	<u>\$50,545</u>	<u>0.0</u>	<u>\$57,234</u>	<u>0.0</u>	<u>\$57,445</u>
Subtotal, Facility Operations.....	0.0	\$50,545	0.0	\$57,234	0.0	\$57,445
5. Electronic Records Initiative (no-year)						
Prior-year	0.0	\$250	0.0	\$21,750	0.0	\$0
Current-year	<u>0.0</u>	<u>0</u>	<u>0.0</u>	<u>9,230</u>	<u>91.0</u>	<u>29,000</u>
Subtotal, Electronic Records Initiative.....	0.0	\$250	0.0	\$30,980	91.0	\$29,000
Total, Appropriation.....	1,441.0	\$335,503	1,437.0	\$397,450	1,584.0	\$404,377

Legislative Archives, Presidential Libraries, and Museum Services

(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
LPM Services	\$ 105,402	\$ 111,877	\$ 112,411

NARA's FY 2022 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- \$65,563 thousand for the Presidential Libraries system, including \$30,044 thousand for the operations and maintenance of facilities; and
- \$16,998 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 \$29,850 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 2022 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 has a FOIA backlog of approximately 153 million pages at the George W. Bush Library in FY 2021. NARA is currently only able to process approximately 500,000 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 2022 Budget Request

The FY 2022 budget request provides \$112,411 thousand for LPM Services, a net increase of \$534 thousand from the FY 2021 enacted level, including:

- +\$2,426 thousand increase for personnel costs;
- +\$2,343 thousand increase for inflationary adjustments at NARA facilities;
- -\$1,300 thousand reduction for non-recurring costs;
- -\$75 thousand reduction to travel; and
- -\$2,860 thousand for decreases in allocated costs of management and administration, including information technology.

Citizen Services

(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
Research Services	\$ 93,559	\$ 102,918	\$ 103,748
Office of Innovation	11,154	12,600	12,605
Total	\$ 104,713	\$ 115,518	\$ 116,353

NARA's FY 2022 request for *Citizen Services* includes:

- \$65,842 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;
- \$7,263 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 \$43,248 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 2022 and future years:

- NARA is approaching its maximum limits in archival storage capacity. NARA currently holds over 5.3 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 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. 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 2022 Budget Request

The FY 2022 budget request provides \$103,748 thousand for Research Services, a net increase of \$830 thousand from the FY 2021 enacted level, including:

- +\$2,567 thousand increase for personnel;
- +\$372 thousand for records relocation to Fort Worth, Texas;
- -\$647 thousand reduction for non-recurring costs;
- -\$47 thousand reduction to travel; and
- -\$1,415 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 2022 and future years:

- There is a large and growing public demand for online access to government information and records. In FY 2020, archives.gov and other NARA websites realized almost 46 million visits. NARA has contributed over 16.4 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 138 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.

Office of Innovation FY 2022 Budget Request

The FY 2022 budget request provides \$12,605 thousand for the Office of Innovation, a net increase of \$5 thousand from the FY 2021 enacted level, including:

- *+\$190 thousand increase in personnel costs;*
- *-\$20 thousand reduction for non-recurring costs;*
- *-\$4 thousand reduction to travel; and*
- *-\$161 thousand from decreases in allocated costs of management and administration, including information technology.*

Agency and Related Services

(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
Agency Services	\$ 44,184	\$ 46,126	\$ 46,608
Electronic Records Archives	19,064	23,108	29,857
Federal Register	11,345	12,607	12,703
Total	\$ 74,593	\$ 81,841	\$ 89,168

NARA's FY 2022 request for *Agency and Related Services* includes:

- \$29,453 thousand for the Agency Services organization, including \$5,629 thousand for the Information Security Oversight Office, \$7,217 thousand for the National Declassification Center, and \$1,588 thousand for the Office of Government Information Services;
- \$29,857 thousand for the electronic records management activities of the Electronic Records Archives system; and
- \$8,080 thousand for the Office of the Federal Register.

An additional \$21,778 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 2022 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's success in supporting this transition 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'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 2022 Budget Request

The FY 2022 budget request provides \$46,608 thousand for Agency Services, a net increase of \$482 thousand from the FY 2021 enacted level, including:

- +\$1,148 thousand increase in personnel costs;
- -\$1,000 thousand reduction for non-recurring costs;
- -\$49 thousand reduction to travel; and
- +\$383 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 2022 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 2022 Budget Request

The FY 2022 budget request provides \$29,857 thousand for the ERA system, a net increase of \$6,749 thousand from the FY 2021 enacted level, including:

- *+144 thousand increase for personnel costs; and*
- *+\$6,605 thousand increase for ERA 2.0 and ERA EOP Cloud-Based infrastructure and database costs.*

Funds requested for ERA in FY 2022 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. Upon completion, the ERA 2.0 project will leverage NARA's cloud services for greater scalability, in terms of storage and computer processing, to increase NARA's ability to preserve and provide access to greater amounts of digital materials.

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 2022 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 2022 Budget Request

The FY 2022 budget request provides \$12,703 thousand for the Office of the Federal Register, a net increase of \$96 thousand from the FY 2021 enacted level, including:

- +\$225 thousand increase in personnel costs;
- -\$1 thousand in decreased travel costs; and
- -\$128 thousand from decreases in allocated costs of management and administration, including information technology.

Facility Operations

(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
Facility Operations	\$ 50,545	\$ 57,234	\$ 57,445

NARA’s FY 2022 request for *Facility Operations* includes:

- \$57,445 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 2022 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 219, 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.

- 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 2022 Budget Request

The FY 2022 budget request provides \$57,445 thousand for Facility Operations, a net increase of \$211 thousand from the FY 2021 enacted level, including the following:

- +\$211 thousand increase for inflationary adjustments at NARA facilities.

Electronic Records Initiative

(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
Electronic Records Initiative	\$ 250	\$ 9,230	\$ 29,000

NARA's FY 2022 request for *Electronic Records Initiative* includes:

- \$29,000 thousand to support Equitable Access to History, 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 2022 will provide for improvements to IT infrastructure, network modernization, digitization staff, digitization equipment and maintenance, shelving, furniture and equipment moves, transportation of records, and cloud-based storage.

Electronic Records Initiative FY 2022 Budget Request

The FY 2022 budget request provides \$29,000 thousand for Electronic Records Initiative, a net increase of \$19,770 thousand from the FY 2021 enacted level, including the following:

- +\$8,312 thousand for IT infrastructure, network modernization, and cloud-based storage;
- +\$4,004 thousand for new staff to support mass digitization in FY 2022; and
- +\$7,454 thousand for digitization equipment and maintenance, shelving, furniture and equipment moves, and transportation of records.

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National Archives and Records Administration

OFFICE OF INSPECTOR GENERAL

Fiscal Year 2022 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, **\$5,323,000**.

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 2021 Enacted level.....	24.0	\$ 4,823
FY 2022 Appropriation request.....	<u>24.0</u>	<u>5,323</u>
Net Change.....	0.0	\$ 500

	<u>FTE</u>	<u>Budget Authority</u>
Pay Adjustments		\$ 158
Increased Oversight and Independence	—	<u>342</u>
Net Change	0.0	\$ 500

Summary of the Request

The FY 2022 budget requests \$5,323 thousand and 24 FTE for the Office of Inspector General (OIG), which is an increase of \$500 thousand from the FY 2021 enacted level. The request includes an increase of \$158 thousand to provide for pay adjustments and the FY 2022 pay raise (2.7 percent).

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. NARAs request includes \$342 thousand to support increasing the oversight provided by, and the independence of, the OIG. This may include an independent OIG E-mail and IT Infrastructure capable of supporting improved internal controls, program management and delivery of services.

The OIG request includes \$40 thousand for training in FY 2022, 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 \$17,100 in FY 2022.

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 2020 Actual	FY 2021 Enacted	FY 2022 Request
Discretionary authority:			
Annual appropriation.....	\$ 4,823	\$ 4,823	\$ 5,323
Unobligated balance, expiring.....	-\$ 53	\$ 0	\$ 0
Total obligations.....	\$ 4,770	\$ 4,823	\$ 5,323
<i>Net outlays</i>	<i>\$ 5,003</i>	<i>\$ 4,801</i>	<i>\$ 5,269</i>

Obligations by Object Classification
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
11.1 Full-time, permanent.....	\$ 2,992	\$ 3,032	\$ 3,224
11.5 Other personnel compensation.....	141	155	196
12.1 Civilian personnel benefits.....	1,207	1,137	1,186
21.0 Travel and transportation of persons.....	14	30	24
25.1 Advisory and assistance services.....	296	338	170
25.2 Other services from non-Federal sources.....	21	16	18
25.3 Other goods & services from Fed. sources.....	23	30	20
25.4 Operation and maintenance of facilities.....	3	0	0
25.5 Research and development contracts.....	0	0	0
25.7 Operation and maintenance of equipment.....	10	15	15
26.0 Supplies and materials.....	56	50	40
31.0 Equipment.....	7	20	430
99.0 Total obligations.....	\$ 4,770	\$ 4,823	\$ 5,323
<i>Subtotal, PC&B.....</i>	<i>4,340</i>	<i>4,324</i>	<i>4,606</i>
<i>Subtotal, non-labor.....</i>	<i>430</i>	<i>499</i>	<i>717</i>
Full-Time Equivalents (FTE).....	22.0	24.0	24.0

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National Archives and Records Administration

REPAIRS AND RESTORATION

Fiscal Year 2022 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, **\$7,500,000**, 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 2021 Enacted level.....	\$ 9,500
FY 2022 Appropriation request.....	<u>7,500</u>
Net Change.....	-\$ 2,000

Summary of the Request

The FY 2022 budget requests \$7,500 thousand for Repairs and Restoration of NARA-owned Federal buildings, which is a net decrease of -\$2,000 thousand from the FY 2021 enacted level.

The FY 2022 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. Prior to the COVID-19 pandemic, over 4 million Americans visited NARA facilities each year 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. .

250th Anniversary of the Declaration of Independence and the Nation’s Founding

Planning and preparation for commemorating the 250th Anniversary of the Declaration of Independence and the Nation’s founding will begin in FY 2022. As home to the original Declaration of Independence, as well as the official records to the First and Second Continental Congresses, the National Archives will serve as a focal point for celebrating the 250th anniversary.

National Archives and Records Administration
Repairs and Restoration

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
Unobligated balance carried forward.....	\$ 1,217	\$ 2,578	\$ 400
Recoveries of prior-year obligations.....	\$ 19	\$ 100	\$ 100
New discretionary authority:			
No-year appropriation.....	\$ 7,500	\$ 9,500	\$ 7,500
New Discretionary authority.....	\$ 7,500	\$ 9,500	\$ 7,500
Unobligated balance, available in future years.....	-\$ 2,578	-\$ 400	\$ 0
Total obligations.....	\$ 6,158	\$ 11,778	\$ 8,000
<i>Net outlays</i>	\$ 4,936	\$ 12,038	\$ 12,668

Obligations by Object Classification
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
25.1 Advisory and assistance services.....	\$ 1,496	\$ 0	\$ 0
25.2 Other services.....	15	0	0
25.3 Goods and services from Gov't accounts.....	0	0	0
25.4 Operation and maintenance of facilities.....	389	0	0
26.0 Supplies and materials.....	11	0	0
31.0 Equipment.....	11	0	0
32.0 Land and structures.....	4,236	11,778	8,000
99.0 Total obligations.....	\$ 6,158	\$ 11,778	\$ 8,000

FY 2022 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:

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.

NARA will continue to target annual expenditures based on the evaluation of risk.

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 2020, NARA completed a two year roof replacement project for the Library; along with repairs to 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 major building systems in the College Park facility have been well maintained. However, as many systems were installed during the building construction in 1992, they reached the end of their 25-year service life in FY 2017. NARA HVAC systems have been required to maintain archival storage standards 24 hours a day, 365 days a 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. In FY 2020, NARA funded the refurbishing of two elevators, with 25 more to refurbish over the next several years.

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. In FY 2020, NARA funded a major re-paving project with ADA compliance corrections.

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 plan received a re-design in FY 2020 and now requires 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, but many areas 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, several needing 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 to replace 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 needing 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 some renovation work for building structure and systems is anticipated. As no major repairs have been completed at the Library, considerations will need to be made in the next 5 years. In FY 2020, NARA funded the replacement of all the boilers.

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. In FY 2020, NARA completed the replacement of the boiler system.

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

Fiscal Year 2022 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, **\$9,500,000**, to remain available until expended.

Program Description

The National Historical Publications and Records Commission (NHPRC) grants program provides for grants to preserve and publish non-Federal records that document American history.

Explanation of Changes
(Dollars in Thousands)

	<u>Budget Authority</u>
FY 2021 Enacted level.....	\$ 6,500
FY 2022 Appropriation request.....	<u>9,500</u>
Net Change.....	\$ 3,000

Summary of the Request

The FY 2022 budget requests \$9,500 thousand to support the mission and projects of the National Historical Publications and Records Commission (NHPRC), a net increase of \$3,000 thousand from the FY 2021 enacted level. Funds requested provide for grants to State, local, and tribal governments, educational institutions, and private, non-profit archives and records repositories. An additional \$1,656 thousand in the NARA Operating Expenses appropriation provides for the salaries and expenses of administering the NHPRC grants program.

The NHPRC awards competitive, matching grants to support cataloging, preservation, and public access to documentary sources that are significant to the history of the United States. NHPRC grants maximize the value of Federal funds by requiring grantees to match at least an equal amount of funds from non-Federal sources. In addition, grantees are required to analyze and share the results of their Federally-assisted work with the public and within professional circles, thereby expanding the impact of each project outcome.

Strategic Direction

The NHPRC awards grants that encourage the collection, preservation, and publication of documents that are important for an understanding and appreciation of the history of the United States, as well as the papers of historically important citizens of the United States. The NHPRC is uniquely positioned to promote advances in public participation in government at all levels, and modernizing the management of non-Federal governmental records.

Historically Black Colleges and Universities (HBCU) Grants Program

Funds requested in the FY 2022 budget would provide \$3,000 thousand for a new grants program to preserve and digitize the records of the creation of HBCUs. This new program would provide grants to HBCUs to preserve and provide public access to critical documents associated with their history while at the same time promoting new scholarship into the history of HBCUs.

HBCUs are a uniquely American institution and their history tracks closely with the history of our Country. Following Emancipation, many African-Americans founded their own colleges and universities to educate African-American students. From Reconstruction through Segregation and even today, HBCUs have consistently offered one of the only paths to a college degree for low-income, first generation college students. The history of HBCUs documents the entrepreneurship, commitment to success through education, and endurance through prejudice and oppression of African-Americans and other minority scholars in America.

This NHPRC HBCU grants program would provide funds to preserve and make publicly available the records documenting the founding and history of HBCUs and would offer the added benefit of supporting archival staff at the institutions who receive grants. This new grants program will protect and preserve critical records, support new scholarship into an often-overlooked area of U.S. history, and provide jobs at HBCUs across the country.

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

Amounts Available for Obligation

(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
Unobligated balance carried forward.....	\$ 421	\$ 1,471	\$ 0
Recoveries of prior-year obligations.....	\$ 155	\$ 200	\$ 200
New discretionary authority:			
No-year appropriation	\$ 6,500	\$ 6,500	\$ 9,500
Unobligated balance, available in future years.....	-\$ 1,471	\$ 0	\$ 0
Total obligations	\$ 5,605	\$ 8,171	\$ 9,700
<i>Net outlays</i>	<i>\$ 5,743</i>	<i>\$ 9,701</i>	<i>\$ 7,683</i>

Obligations by Object Classification

(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Enacted	FY 2022 Request
41.0 Grants, subsidies, and contributions.....	\$ 5,605	\$ 8,171	\$ 9,700
99.0 Total obligations	\$ 5,605	\$ 8,171	\$ 9,700

National Archives and Records Administration

SPECIAL FUNDS

Fiscal Year 2022 Budget Request

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Records Centers Revolving Fund

Authorizing Language

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

Program Description

This full cost recovery revolving fund provides for the storage and related services that NARA 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 2021 Current.....	1,298.0	\$ 206,000
FY 2022 Budget.....	<u>1,298.0</u>	<u>193,440</u>
Net Change.....	0.0	-\$ 12,560

The FY 2022 budget includes an estimated \$193,440 thousand in obligations for the Records Center Revolving Fund, a net decrease of -\$12,560 thousand from FY 2021 estimated obligations of \$206,000 thousand. 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. In FY 2021, the COVID Relief and Response Act provided \$50,000 thousand in emergency appropriations for the Records Center Revolving Fund. Funds provided will improve service to our nation’s veterans along with covering ongoing mandatory costs.

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 2020 Actual	FY 2021 Current	FY 2022 Budget
Revenue.....	\$ 142,148	\$ 192,800	\$ 193,100
Expenses.....	192,921	192,600	193,000
Net Operating Result.....	-\$ 50,773	\$ 200	\$ 100

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Current	FY 2022 Budget
Unobligated balance carried forward.....	\$ 62,264	\$ 39,733	\$ 80,433
Recoveries of prior-year obligations.....	\$ 3,417	\$ 3,900	\$ 4,400
Appropriations discretionary:			
Appropriation, multi-year (FRCP).....	\$ 0	\$ 50,000	\$ 0
New discretionary authority:			
Collections from other Federal agencies.....	\$ 148,154	\$ 192,800	\$ 193,100
Change in unfilled customer orders.....	\$ 16,433	\$ 0	\$ 0
New Discretionary authority.....	\$ 164,587	\$ 192,800	\$ 193,100
Unobligated balance, available in future years.....	-\$ 39,733	-\$ 80,433	-\$ 84,493
Total obligations.....	\$ 190,535	\$ 206,000	\$ 193,440
<i>Net outlays</i>	<i>\$ 40,008</i>	<i>-\$ 4,721</i>	<i>-\$ 5,018</i>

National Archives and Records Administration
Records Centers Revolving Fund

Obligations by Object Classification
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Current	FY 2022 Budget
11.1 Full-time, permanent.....	\$ 65,723	\$ 65,038	\$ 66,739
11.3 Other than full-time permanent.....	380	668	687
11.5 Other personnel compensation.....	2,493	2,951	3,028
11.8 Special personal services payments.....	34	39	40
12.1 Civilian personnel benefits.....	25,128	24,838	25,488
13.0 Benefits for former personnel.....	19	75	75
21.0 Travel and transportation of persons.....	155	425	425
22.0 Transportation of things.....	889	1,050	1,082
23.1 Rental payments to GSA.....	45,074	11,601	47,807
23.2 Rental payments to others.....	11,910	10,448	10,603
23.3 Communications, utilities, and misc. charges....	4,255	4,440	4,460
24.0 Printing and reproduction.....	29	40	40
25.1 Advisory and assistance services.....	2,065	3,085	3,025
25.2 Other services from non-Federal sources.....	4,904	5,209	5,163
25.3 Other goods & services from Federal sources...	11,781	11,650	11,230
25.4 Operation and maintenance of facilities.....	269	375	393
25.7 Operation and maintenance of equipment.....	11,586	11,189	10,336
26.0 Supplies and materials.....	916	873	773
31.0 Equipment.....	2,683	2,006	2,046
32.0 Land and structures.....	225	0	0
42.0 Insurance claims and indemnities.....	17	0	0
99.0 Obligations, new discretionary authority.....	\$ 190,535	\$ 156,000	\$ 193,440
<i>Subtotal, PC&B.....</i>	93,777	93,609	96,057
<i>Subtotal, non-labor.....</i>	96,758	62,391	97,383
99.0 Obligations, multi-year appropriation (FRCP).....	0	50,000	0
99.0 Total obligations.....	\$ 190,535	\$ 206,000	\$ 193,440
Full-Time Equivalents (FTE).....	1,223.0	1,298.0	1,298.0

Note: This schedule includes obligations from appropriated funds provided by Public Law 116-260.

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 2021 Current.....	\$ 4,634
FY 2022 Budget.....	<u>3,391</u>
Net Change.....	-\$ 1,243

The FY 2022 budget includes an estimated \$3,391 thousand in obligations for the National Archives Gift Fund, a decrease of -\$1,243 thousand from FY 2021 estimated obligations of \$4,634 thousand.

Amounts Available for Obligation

(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Current	FY 2022 Budget
Unobligated balance carried forward.....	\$ 4,770	\$ 4,940	\$ 3,457
Recoveries of prior-year obligations.....	\$ 3	\$ 10	\$ 10
New mandatory authority:			
Mandatory Appropriation.....	\$ 3,270	\$ 3,141	\$ 2,334
Unexpired unobligated balance, end of year.....	-\$ 4,940	-\$ 3,457	-\$ 2,410
Total obligations.....	\$ 3,103	\$ 4,634	\$ 3,391
<i>Net outlays</i>	\$ 4,027	\$ 2,912	\$ 2,415

National Archives and Records Administration
National Archives Gift Fund

Obligations by Object Classification
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Current	FY 2022 Budget
21.0 Travel and transportation of persons.....	-\$ 1	\$ 50	\$ 50
22.0 Transportation of things.....	0	28	8
23.3 Communications, utilities, and misc. charges....	0	0	0
24.0 Printing and reproduction.....	12	43	27
25.2 Other services from non-Federal sources.....	89	618	588
25.3 Other goods & services from Federal sources...	0	1,031	811
26.0 Supplies and materials.....	8	376	70
31.0 Equipment.....	158	172	150
32.0 Land and structures.....	64	65	65
33.0 Investments.....	1,566	1,551	922
94.0 Financial Transfers.....	643	700	700
99.0 Total obligations.....	\$ 3,103	\$ 4,634	\$ 3,391

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 2021 Current.....	62.0	\$ 10,246
FY 2022 Budget.....	<u>62.0</u>	<u>11,768</u>
Net Change.....	0.0	\$ 1,522

The FY 2022 budget includes an estimated \$11,768 thousand in obligations for the National Archives Trust Fund, a net increase of \$1,522 thousand from FY 2021 estimated obligations of \$10,246 thousand.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Current	FY 2022 Budget
Unobligated balance carried forward.....	\$ 4,070	\$ 3,654	\$ 5,500
Unobligated balance, precluded from obligation.....	\$ 0	-\$ 12	-\$ 69
Recoveries of prior-year obligations.....	\$ 5,959	\$ 700	\$ 700
New mandatory authority:			
Collections from Federal and Non-Federal sources	\$ 15,403	\$ 11,120	\$ 10,500
Change in unfilled customer orders	-\$ 62	\$ 0	\$ 0
Joint Committee Sequestration ¹	-\$ 12	-\$ 57	-\$ 57
New Discretionary authority.....	\$ 15,329	\$ 11,063	\$ 10,443
Unexpired unobligated balance, end of year.....	-\$ 3,642	-\$ 5,569	-\$ 4,285
Unobligated balance, precluded from obligation.....	[12]	[69]	[126]
Total obligations.....	\$ 21,716	\$ 9,836	\$ 12,289
<i>Net outlays</i>	<i>\$ 401</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 5.9 percent in FY 2020, and an estimated 5.7 percent in FY 2021 and FY 2022.

Obligations by Object Classification
(Dollars in Thousands)

	FY 2020 Actual	FY 2021 Current	FY 2022 Budget
11.1 Full-time, permanent.....	\$ 3,561	\$ 3,616	\$ 3,734
11.3 Other than full-time permanent.....	63	91	94
11.5 Other personnel compensation.....	103	177	183
12.1 Civilian personnel benefits.....	1,428	1,446	1,493
21.0 Travel and transportation of persons.....	10	40	65
22.0 Transportation of things.....	101	100	147
23.2 Rental payments to others.....	0	0	0
23.3 Communications, utilities, and misc. charges....	55	60	75
24.0 Printing and reproduction.....	224	225	290
25.1 Advisory and assistance services.....	60	70	95
25.2 Other services from non-Federal sources.....	2,081	1,690	1,950
25.3 Other goods & services from Federal sources...	581	610	981
25.4 Operation and maintenance of facilities.....	220	225	325
25.7 Operation and maintenance of equipment.....	165	167	197
26.0 Supplies and materials.....	649	450	778
31.0 Equipment.....	178	140	227
32.0 Land and structures.....	102	67	102
33.0 Investments.....	12,135	662	1,553
99.0 Total obligations.....	\$ 21,716	\$ 9,836	\$ 12,289
<i>Subtotal, PC&B.....</i>	<i>5,155</i>	<i>5,330</i>	<i>5,504</i>
<i>Subtotal, non-labor.....</i>	<i>16,561</i>	<i>4,506</i>	<i>6,785</i>
Full-Time Equivalents (FTE).....	60.0	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 2021	FY 2022
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.	\$ 6,592 service fee	\$ 7,562 service fee
		\$ 4,041 service fee Revolving Fund	\$ 4,635 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.	\$ 11,218 service fee	\$ 11,218 service fee
		\$ 10,778 service fee Revolving Fund	\$ 10,778 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 2021	FY 2022
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.	\$ 171,718 service fee	\$ 175,153 service fee
		\$ 105,247 service fee Revolving Fund	\$ 107,351 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	\$ 29,000 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	\$ 73,914 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, 2020). 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 2022 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-sar20b-covering-1apr20-to-30sep20.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 2022 budget for NARA <u>Operating Expenses</u> continues funding (within the base) for the development of ERA 2.0. In FY 2022, 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 2021, ERA 2.0 will 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 2022 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 released its Digital Preservation Framework - spelling out 16 electronic record categories and how agencies can best protect them. In FY 2021, 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 2022 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 2021 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 18 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 2022 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 access to one of NARA's most prominent collections of records associated with Native American tribes.</p> <p>NARA continues to dedicate funding in the FY 2022 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 2017, NARA has increased the percentage of traditional holdings processed from 85% to 89% of total traditional holdings at the end of FY 2020. .</p> <p>In FY 2021, NARA will continue 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 2022 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 2022 <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 2022 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>The Electronic Records Initiative provides for 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>The FY 2022 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 2021, 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 to assess and quantify contract performance data.</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 2022 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 2022 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 2022, NARA will continue the 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's employees are the backbone of the agency. However, NARA is challenged to correct pas deficiencies in Human Capital practices, including Human Resources data.</p>	<p>To align NARA's human capital management strategy with key elements of the Office of Personnel Management's Human Capital Framework, the FY 2022 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>Since migrating to a new shared services provider for human resources services in FY 2019, NARA has made progress towards improving effectiveness and efficiency of HR service delivery. In FY 2022, NARA will continue efforts began in FY 2021 to address and simplify outdated policies.</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 2022 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 2021, NARA will complete its risk profile as 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 2022 ANNUAL PERFORMANCE PLAN and
FY 2020 ANNUAL PERFORMANCE REPORT**

Fiscal Year 2022 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 2022, 83 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.

Performance Measure	Year	2017	2018	2019	2020	2021	2022
Percent of archival holdings processed	<i>Target</i>	78%	79%	80%	81%	82%	83%
	<i>Actual</i>	85%	87%	89%	89%		
Total number of archival holdings processed	<i>Target</i>	—	—	—	—		
	<i>Actual</i>	4.3M	4.5M	4.8M	4.7M		

Performance summary: Through FY 2020, NARA processed a cumulative total of 4.7 million out of 5.2 million cubic feet of records, exceeding the annual target of 81 percent of total holdings processed despite the impact of the COVID-19 pandemic. In FY 2020, NARA issued new processing procedures for special media records consolidated with existing procedures for textual records. Enhanced quality control procedures were also implemented which improved consistency in identifying and correcting processing errors and provided managers with better feedback on overall processing performance. Processing error rates were well within the acceptable range of five percent.

NARA plans to reduce the volume of unprocessed holdings by 0.5 percent in FY 2021 and one percent in FY 2022.

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 digitized 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	2017	2018	2019	2020	2021	2022
Number of pages digitized and made available online through the Catalog	<i>Target</i>	40M	65M	90M	115M	140M	260M
	<i>Actual</i>	36.5M	53.1M	92.6M	120.9M		

Performance Summary: NARA provides public access to more than 120 million pages of digitized records through the online National Archives Catalog, exceeding the performance goal for two consecutive years for this metric. NARA posted 28.3 million pages of archival records in FY 2020, with more than 20.4 million pages from third-party digitization partners. In addition, NARA initiated implementation of Catalog scalability work.

To address the growing volume of records in the Catalog and improve workflows, NARA will expand decentralized Catalog uploads. Offices within NARA will perform direct uploads of information to the Catalog. In FY 2021, NARA will upgrade the existing Catalog infrastructure to achieve scalability performance for up to 275M objects so that both the FY 2021 and FY 2022 goals can be met.

In FY 2022, work will initiate on the full scalability development efforts to achieve 500M objects in the Catalog and beyond. Additionally, NARA will make user experience enhancements to support the growing volume of data.

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	2017	2018	2019	2020	2021	2022
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%	95%	98%
	<i>Actual</i>	0%	0%	84%	92%		

Performance summary: In FY 2020, NARA deployed the “Presidential Library Explorer,” a new finding aid which allows users to discover digital content for all Presidential Library records available in the National Archives Catalog. The new Presidential Library Explorer, in combination with the Record Group Explorer deployed in FY 2019, provides members of the public with access to explore and discover 91 percent of NARA’s series-level descriptions.

Plans for FY 2021 include the deployment of a finding aid for Bureau of Indian Affairs photographs, completion of a prototype for user-generated finding aids, development of a next-generation version of a traditional finding aid, and development of a finding aid for donated collections.

In FY 2022, using lessons learned from the user-generated finding aids prototype, NARA plans to begin development work on production of user-generated finding aids in the National Archives Catalog.

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	2017	2018	2019	2020	2021	2022
Percent of customer requests ready within the promised time	<i>Target</i>	93%	93%	93%	93%	93%	93%
	<i>Actual</i>	91%	96%	97%	90%		

Performance summary: NARA is not able to determine the value for this metric at this time. In March 2020, the COVID-19 pandemic disrupted nationwide operations. NARA closed all facilities to support stay-at-home orders and has since only gradually reopened our facilities and restored limited operations, commensurate with local public health conditions. During the initial closure period, NARA accumulated a large backlog of unanswered customer requests. When NARA facilities opened for limited operations, we began to organize large volumes of requests received during the closure period and schedule those inquiries for response. NARA continues to receive delayed requests and gain control over our backlog unanswered requests.

Notably, NARA staff have responded to more than 7,000 emergency reference requests during the closure and delayed reopening period, involving homeless veterans seeking shelter, medical emergencies, and burial honors for deceased veterans. It is anticipated that on-time performance will continue to decline during the remainder of the fiscal year as staff complete old requests and backlogs continue to build. Eliminating the backlog of reference requests is among NARA’s Federal; Records Center program’s highest priorities, with a goal of returning to, or exceeding, FY 2019 performance levels. NARA will consistently monitor progress, working to ensure that customer expectations are met. Planned improvements for FY 2021-2022 will include efforts to expand remote processing opportunities and increase capacity for digitization in the stacks in order to enhance operations in a socially-distanced, post-COVID-19 environment.

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	2017	2018	2019	2020	2021	2022
Percent satisfaction from participants in public engagement activities	<i>Target</i>	90%	90%	90%	90%	90%	90%
	<i>Actual</i>	—	94%	94%	98%		

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

In FY 2020, NARA exceeded its established satisfaction goals of 90 percent for museum visitors and participants in education and public program activities during the first two quarters of FY 2020. Unfortunately, with NARA-wide building closures due to COVID-19, most NARA offerings related to exhibits, public programs, and education, were canceled or postponed. Our ability to conduct programs and collect subsequent feedback using OMB-approved survey instruments was severely impacted. The survey results for FY 2020 are primarily from the first two quarters of FY2020.

In the midst of COVID-19, NARA is considering new and creative ways to both deliver programs to the public and collect their feedback. NARA’s goal for FY 2021 and FY 2022, is to continue to deliver programs driven by common civic literacy and engagement goals, even with social distancing in effect. NARA will monitor satisfaction levels in agency public and education programs to ensure that efforts to engage the public are effective. NARA will review survey data collection methods and procedures to determine how these can be updated in a pandemic environment.

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.

National Archives and Records Administration
 FY 2022 Annual Performance Plan and FY 2020 Annual Performance Report

Performance Measure	Year	2017	2018	2019	2020	2021	2022
Cumulative number of records enhanced by citizen contributors	<i>Target</i>	75K	100K	260K	500K	---	---
	<i>Actual</i>	136K	259K	483K	1.2M	N/A*	N/A*
Pages enhanced by citizen archivists that document the experiences of traditionally underrepresented communities	<i>Target</i>	---	---	---	---	15,000	18,000
	<i>Actual</i>	---	---	---	---		

* Goal was achieved in FY 2020.

Performance summary: NARA doubled the expected performance for this goal and achieved the FY 2025 goal in FY 2020. NARA continued to leverage the use of citizen archivist missions to achieve this goal. In addition, NARA closed locations in March 2020 in response to the COVID-19 pandemic resulting in most staff being on full time telework. Catalog community managers provided training for staff and worked with managers across the agency to develop missions for staff to contribute to this goal as well. In total, NARA issued 64 citizen archivist and staff missions as of August 2020, resulting in achievement of the goal to enhance one million records.

Since NARA achieved the goal of enhancing one million records, in FY 2021 and FY 2022, the agency will focus on enhancing records that document the experiences of traditionally underrepresented communities, such as African Americans, women, Native Americans, LGBTQ persons, etc. Staff will do this by identifying records in the Catalog that document the experiences of these communities and create citizen archivist missions for these records. In addition, NARA will continue to develop the Catalog API v.2 and enhancements that were delayed in FY 2020.

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.

Milestone	Year
Issue regulations with digitization standards for permanent records created on paper, specifying technical standards and quality control standards	FY 2021

Milestone	Year
Issue implementing guidance for digitizing records, such as an FAQ on how to apply digitization standards	FY 2021
Issue regulations with digitization standards for permanent records created on a variety of analog formats, including still pictures, motion pictures, maps, and x-rays	FY 2022

Performance summary: NARA continued making significant progress towards this goal and the requirements in OMB Memorandum M-19-21, Transition to Electronic Records. This memorandum 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.

In FY 2020, NARA continued to develop regulations with digitization standards for permanent records. The regulations cover all paper materials, including documents, printed photos, maps, and charts. NARA completed a draft of the regulation for permanent records that included technical and administrative standards for digitizing these types of permanent records, as well as quality management standards. Draft regulations were issued for agency review in the third quarter of FY 2020.

In FY 2021, NARA plans to issue regulations with digitization standards for permanent records created on paper, specifying technical standards and quality control standards. NARA also plans to issue implementing guidance for digitizing records, such as success criteria for digitizing permanent records. These products will help agencies and vendors better understand the requirements. In FY 2022, NARA plans to issue additional regulations with digitization standards for permanent records created on a variety of analog formats, including still pictures, motion pictures, maps, and x-rays.

In FY 2020, NARA’s Federal Electronic Records Management Initiative (FERMI) received OMB approval of the Federal Business Lifecycle and Business Capabilities standard. This standard enables other Federal shared services to incorporate electronic records management guidance as they are developed. NARA also sought OMB approval for universal use cases (Capture, Maintenance and Use, Disposal, and Transfer) for use by agencies and vendors to demonstrate how they perform the same workflow when managing electronic records. NARA and GSA held a collaboration day with over 1300 registrants to talk about FERMI and GSA offerings.

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	2017	2018	2019	2020	2021	2022
Percent of Federal agencies inspected	<i>Target</i>	—	10%	10%	10%	10%	10%
	<i>Actual</i>	3%	13%	12%	10%		

Performance summary: NARA exceeded the target to inspect 10 percent of agencies as we conducted a mix of inspections and assessments covering 56 agencies. We have started multiple engagements that will carryover into FY 2021.

Two assessment reports covering 15 agencies were drafted during this period. NARA also created a multi-agency approach to inspections based on specific topics. For FY 2020 these topics included disaster response and recovery records and managing permanent records. One inspection included the disaster response and recovery records of six agencies (i.e., 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). The inspection covering managing permanent records included five agencies (i.e., Defense Intelligence Agency, Federal Communications Commission, U.S. Global Media, U.S. Agency for International Development, and the General Services Administration). NARA's complete inspection reports for these and previous inspections are available at: <https://www.archives.gov/records-mgmt/resources/rm-inspections>

NARA also published the [Summary Report of Inspections Records Management Inspections Research and Development Records FY2018-2019](#), which summarized individual inspections focusing specifically on research and development records.

Additionally, NARA published a semi-annual report of oversight activities that shares recurring themes, key observations, and recommendations for action. This report can be found at <https://www.archives.gov/files/records-mgmt/resources/first-semi-annual-rm-oversight-report-final-7-30-2020.pdf>.

Impacts from COVID-19 did delay the completion of existing projects and the start of new projects. While COVID-19 has impacted how our work is conducted and how agencies are able to participate, we anticipate being able to conduct inspections, assessments and audits virtually until travel and on-site agencies visits are possible.

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 2020, NARA continued enhancements of Electronic Records Archives (ERA) 2.0, the agency’s repository for archival electronic records. The agency continued to make incremental progress in increasing the archival processing tools available to assist users in processing and preserving electronic archival records. NARA also deployed capabilities to strengthen the management of user accounts, which will help prepare NARA to management users of the system from other agencies in the future. NARA made new progress in long-term efforts to develop workflow management tools in ERA 2.0 and enhance the agency’s ability to receive transfers of electronic records.

In a related effort, NARA completed the first official version of the agency’s digital preservation framework, which documents and shares NARA’s risk assessments and recommended preservation actions for the agency’s electronic records holdings based on current decisions and capabilities. The analysis and plans of the framework can support all aspects of electronic records: the documented format sustainability metrics provide critical context for agency records managers, support records selection and appraisal, inform the selection of tools for ERA 2.0 through their support for essential record characteristics, and guide the selection of formats available for public access.

In FY 2021 and FY 2022, NARA will revise the General Records Schedule to allow agencies to dispose of temporary and permanent original records that meet digitization standards for records. In addition, we will provide clear guidance, via regulations and/or NARA bulletins, on the processes agencies must follow when disposing of original source records that have been digitized. NARA will develop enhanced guidance for agencies on how to schedule records, including how to write big bucket schedules, the latter often being critical for an agency’s movement to electronic recordkeeping.

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.

Performance Measure	Year	2017	2018	2019	2020	2021	2022
Number of platforms that use NARA records as part of their business model	<i>Target</i>	3	4	22	26	30	32
	<i>Actual</i>	15	21	25	29		

Performance summary: In FY 2020, NARA identified four new platforms leveraging NARA records and data. Large increases in the amount of enhancement data being ingested into the Catalog caused performance issues. Addressing these Catalog performance problems as well as other issues caused delays for planned development work such as the Application Programming Interface (API) v.2 to improve public access to large datasets in the Catalog and user interface enhancements.

In FY 2021 and FY 2022, NARA will continue to promote and encourage existing and potential new external platforms to leverage reuse of NARA’s data. In addition, NARA will focus on identifying and reaching out to potential partners with platforms that serve traditionally underrepresented communities such as African Americans, women, Native Americans, LGBTQ persons, etc., to increase access to records documenting their experiences. Given the unknown depth of this pool of potential partners, and their capabilities to reuse NARA data, the performance measure is set to a minimal increase of one platform. Information gathered in FY 2021 to identify potential partners will inform levels of performance for FY 2022 and beyond with greater clarity.

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	2017	2018	2019	2020	2021	2022
Percent of staff who participated in a leadership development activity	<i>Target</i>	baseline	35%	37.5%	40%	40%	40%
	<i>Actual</i>	32.5%	39.3%	46%	52.5%		

Performance summary: In FY 2020, three cohorts participated in NARA’s Supervisor Development Program (SDP). NARA’s SDP is a six-month program that combines instruction and experiential learning for new supervisors. To date, thirty percent of supervisors have completed the program, with a sixth cohort scheduled for completion in FY 2021.

In FY 2020, NARA launched and completed a Supervisor Development Program Cohort 5 with 42 graduates. Cohort 6 was also launched with 28 participants and will complete the program in the first quarter of FY2021. In FY 2020, the program was modified and reduced to a 6 month concept based on feedback and evaluation. Also, in FY 2020, the Cross Training Program launched with 15 projects and 19 participants. In addition, and as a unique side-effect of the facility closures related to the pandemic, online training completion rates across the agency increased tenfold. Many of these opportunities were focused on leadership development.

Leadership development activity at NARA continues to grow exponentially. As reflected in the data in this document, we met our strategic goal early, and have continued to exceed that goal. Built on this success, we are beginning to turn our attention to how we can gain even deeper and more meaningful insight into not just the quantity of leadership development activities in the agency, but also the quality and impact of those activities. To that end, we have started a pilot program to gauge behavioral changes in coaching competencies, as a result of coaching training embedded within NARA’s Supervisor Development Program. We are running this pilot program in tandem with maintaining (and expanding) NARA’s current leadership development

participation goals.

Based on our current trajectory, which includes overcoming hurdles associated with the pandemic, we do not anticipate any risks to continuing to meet the 40 percent goal currently outlined, and have started looking ahead to the "next level" measures for our future strategic plan.

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.

<i>Performance Measure</i>	<i>Year</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>	<i>2022</i>
Percent of NARA positions filled within 80 days	<i>Target</i>	55%	65%	75%	85%	85%	85%
	<i>Actual</i>	40%	48%	32%	49%		

Performance summary: In FY 2020, NARA continued the human resources shared services partnership with the Department of Treasury, Bureau of the Fiscal Service, Administrative Resource Center (ARC). In the area of staffing, practices were instituted to facilitate the creation of preauthorized job analysis documents allowing for a more expedited job posting. However, the benefit from this investment was disrupted by the response to the COVID-19 pandemic, which caused staffing process delays particularly in the interviewing process and new employee on-boarding and reporting.

In FY 2021 and FY 2022, NARA will continue to partner with ARC to ensure the staffing timelines are met, subject to local public health conditions.

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	2017	2018	2019	2020	2021	2022
Percent of NARA positions with career paths	<i>Target</i>	35%	48%	90%	95%	95%	95%
	<i>Actual</i>	36%	48%	48%	N/A		

Performance summary: NARA did not realize significant progress against this goal in FY 2020. The continued 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 2021 and FY 2022, 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: In FY 2020, progress on NARA’s career development program was interrupted due to the COVID-19 pandemic. Many facilities closed, impacting plans to gather employee and supervisor input. Instead, NARA took the opportunity to provide several development offerings to employees now on telework. The participants in the offering comprised a large target demographic.

Participants in live events and self-paced learning opportunities increased exponentially during the pandemic lockdown. Between March and July, NARA employees completed more than 63,000 self-paced courses and attended nearly 7,000 webinars. This comes to more than 56,000 hours of training taken during the pandemic lockdown, 85 percent of which were employees in pay grades GS-4 to GS-9. This is a strong indication that employees in our target demographic are ready to engage in programs offered at a distance.

In FY 2021 and FY 2022, 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.

The participation data NARA has collected since March 2020 indicates that employees are ready for structured resources and, for the most part, able to engage remotely. The data also indicates in-demand topics that can help the agency build development pathways. NARA will:

- **Build curriculum pathways for basic technology skills.** The technology skill offerings since March 2020 have been based on demand and requests. Formulating one or more certificate pathways that structure basic and intermediate skill development with a virtual lab component (hands-on) should help support skill progression.
- **Build curriculum pathways for the Technology Champion role.** Plan a certificate pathway for technology and non-technical skills, to include leader development.
- **Work with leadership to model implementation of developmental activities as work assignments for teleworking employees.** Participation in remote learning activities for units indicated as needing technology skills improvement will help us formulate a strategy after all employees return to normal work schedules.

Federal Records Management Programs

This section reports on the annual results of NARA's records management activities, in compliance with 44 U.S.C §2904(c)(8).

NARA Strategic Plan (2018-2022) Progress

The following FY 2020 accomplishments were in support of NARA's strategic goal to have policies and processes in place to support Federal agencies' transition to fully electronic recordkeeping by FY 2022.

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

In June 2019, the Office of Management and Budget (OMB) and NARA issued the joint memorandum Transition to Electronic Records (M-19-21). This memorandum directs Federal agencies to ensure Federal records are created, retained, and managed in electronic formats, with appropriate metadata. In September 2020, NARA issued [NARA Bulletin 2020-01 Guidance on OMB/NARA Memorandum Transition to Electronic Records \(M-19-21\)](#) which answered questions agencies raised about M-19-21 and provided additional guidance. With the release of this bulletin, NARA met the requirement in the memorandum to issue additional guidance.

Federal Electronic Records Modernization Initiative

NARA's Federal Electronic Records Modernization Initiative (FERMI) continued in FY 2020. In April, NARA issued the second version of the [Universal Electronic Records Management Requirements](#). Major updates in this version included the addition of requirements on the sustainability of electronic records, additional formats acceptable for transfer to the National Archives, and a glossary. Another component of FERMI is the Universal Use Cases, which were submitted to OMB for approval and publication. NARA and the General Services Administration (GSA) jointly sponsored the August 2020 Industry Day in support of FERMI. During this event, more than 1,100 attendees from the Federal community and industry were informed about these updates and the partnerships GSA created to bring electronic records management solutions directly to Federal customers.

Outreach Activities

NARA conducted approximately 75 briefings and presentations on Federal recordkeeping during FY 2020. Audiences included Federal agency officials and records managers, professional organizations, members of the press, and archivists from other countries. With the onset of the COVID-19 pandemic, these meetings were held virtually.

The Chief Records Officer of the United States and his staff continued to meet with Senior Agency Officials for Records Management (SAORMs) to discuss their records management issues and activities. NARA met with the Department of Health and Human Services, Department of Defense, Department of Agriculture, and other agencies. NARA hosted two virtual SAORM meetings which were held December 2019 and September 2020.

NARA hosted four Agency Services Bimonthly Records and Information Discussion Group (BRIDG) meetings and six Federal Records Management Council (FRMC) meetings. In addition, NARA staff provided individual presentations to agencies.

NARA engaged with agencies about Federal records management and the Microsoft Office 365 platform. As a result of COVID-19, many Federal agencies accelerated the adoption of the Office 365 platform and its collaboration tools. The NARA-led Microsoft 365 working group experienced a surge in interest and participation throughout the year. In FY 2020, staff in the Office of the Chief Records Officer received and addressed many questions specific to the Office 365 platform. Additionally, NARA engaged in discussions with other countries about how they were implementing Office 365. Meetings were held with The National Archives (UK), National Archives of Australia, Archives New Zealand, and the National Archives of Norway.

NARA Research on Emerging Technologies

NARA published a white paper on the records management implications of emerging technologies such as: Internet of Things (IoT), Robotics Process Automation (RPA), Machine Learning (ML), and Artificial Intelligence (AI). The white paper provided a basic description of each technology, examples of their applications, and discussed the enabling factors supporting the technologies. The white paper contains our analysis of cognitive technologies' potential impact on records and data management; policies and standards; and records creation, appraisal, scheduling, and transfer.

Records Management Policy and Standards

NARA continued work on the digitization regulation to establish standards for digitizing analog originals of permanent records with a view to the disposal of the original records. NARA completed the first draft of the regulation that addressed standards for image quality, completeness of scanning jobs, and metadata for digitized permanent records. OMB issued the draft for agency review. NARA adjudicated over 250 agency comments from this review, and over 60 follow-up comments from the subsequent OMB passback.

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 the committee to revise the standard ISO 30300:2020 *Information and documentation — Records management — Core concepts and vocabulary*, which was published in July. This standard contains terms and definitions relevant to the core concepts of the records management domain. NARA also served on the committee to revise the standard ISO 16175-1:2020 *Information and documentation — Processes and functional requirements for software for managing records — Part 1: Functional requirements and associated guidance for any applications that manage digital records*. The standard provides functional requirements and associated guidance for software applications that are intended to manage digital records—including digital copies of analog source records.

Records Scheduling and Appraisal

Overall, NARA closed a total of 246 records schedules including schedules submitted more than two fiscal years prior.

- **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 2020, NARA approved 19 disposition requests for email managed under a Capstone approach, bringing the total to 204.

- **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 FY 2020 the number of backlog schedules was 67, which was an increase from last year's backlog of 58. In FY 2020, NARA closed 42 schedules.
- **General Records Schedules.** NARA issued [Transmittal 30](#) in December 2019 and [Transmittal 31](#) in April 2020.
- **Records Scheduling Guidance.** NARA issued [FAQs About Records Scheduling & Appraisal](#) and [FAQs About Records Management During the COVID-19 Pandemic](#). NARA also issued [NARA Bulletin 2020-02, Guidance on Scheduling the Early and Late Transfer of Permanent Records](#) that provided guidance for submitting schedules requesting late transfer of permanent records.

Records Management Oversight and Reporting

Federal Agency Records Management Annual Report 2019. This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA. In 2020, NARA required three related but separate submissions covering activities in 2019: a Senior Agency Official for Records Management (SAORM) Report, a Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA).

- **Records Management Self-Assessment:** NARA has administered the annual RMSA since 2009. This assessment requires agency records officers to provide NARA with an evaluation of their individual agency's compliance with Federal records management statutes, regulations, and program functions. <https://www.archives.gov/records-mgmt/resources/self-assessment.html>
- **Senior Agency Official for Records Management Reports:** NARA requires the Senior Agency Official for Records Management (SAORM) to report annually on their progress towards the transition to electronic records keeping in line with OMB/NARA M-19-21 and also other strategic initiatives and challenges for records management. <https://www.archives.gov/records-mgmt/resources/saorm-reports>
- **Federal Electronic Records and Email Management Maturity Reports:** In 2016, NARA introduced the use of maturity models to measure email management. In 2019, we added electronic records management into the model. The models use specific success criteria for managing these types of records for agencies to determine their status and report that information to NARA. <https://www.archives.gov/records-mgmt/resources/email-mgmt-reports>

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. Inspection reports are available at: <https://www.archives.gov/records-mgmt/resources/rm-inspections>.

In FY 2020, NARA completed inspections of the Office of the Secretary of Defense, Defense Information Systems Agency, Department of State, and the Department of Defense Joint Staff and Combatant Commands.

We also introduced multi-agency inspections based on specific topics within a single report to increase our capacity to inspect more agencies simultaneously. In FY 2020, we completed the following multi-agency inspections:

Disaster Response and Recovery Records. Federal Emergency Management Agency, US Army Corps of Engineers, US Forest Service, Department, Small Business Administration and selected offices of the Departments of Housing and Urban Development, Health and Human Services, and Interior.

Managing Permanent Records. Defense Intelligence Agency, Federal Communications Commission, General Services Administration, US Agency for Global Media, and the U.S. Agency for International Development.

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. NARA is currently monitoring 32 approved plans of corrective actions.

Summary Reports. NARA produced the following summary reports from the data gathered by inspections in order to more broadly disseminate our findings and recommendations and identify common challenges: [Summary Report Records Management Inspections Research and Development Records FY 2018 - FY 2019](#) and the first semi-annual report, [Records Management Oversight Activities October 1, 2019 through May 31, 2020](#).

Records Management Assessments. An assessment is an evaluation of a specific records management (RM) topic, issue, or activity affecting processes, procedures and policies. Assessments evaluate records management practices and inform NARA's guidance, policy, training, and tools. Unlike inspections that focus on an entire RM program, assessments focus on a specific RM topic. In late FY 2020, we conducted two assessments: [Big Bucket Schedule Implementation](#) and Records Management Self-Evaluations by Federal Agencies. Published reports are available at: <https://www.archives.gov/records-mgmt/resources/rm-assessments>.

Electronic Records Systems Audits. NARA conducts audits and analysis of Federal agencies' electronic records systems. This function enables NARA to:

- conduct systems audits and provide expert advice concerning how electronic records are captured, managed, and stored to ensure they are properly configured to capture and manage records in accordance with records management laws, regulations, policies and guidance.
- respond quickly to particular email or electronic records management challenges that develop in the Federal government.

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. Specific information about unauthorized disposition reporting and findings is available at:

<https://www.archives.gov/records-mgmt/resources/unauthorizeddispositionoffederalrecords>.

NARA Records Management Training for Agencies

The Records Management Training Program (ACT) launched the Agency Records Officer Credential (AROC) in FY 2020. ACT also offered role-based training for records custodians, records liaisons, and agency records officers. The Records Management Training Program enrolled 23 agency records officers (AROs) in the inaugural class for the AROC program in January 2020. Subsequent enrollment into the AROC program included an additional 18 AROs for the remainder of FY 2020. ACT staff were designated as mentors and assigned to monitor and assist each records officer working through the AROC curriculum.

The AROC was awarded to eight AROs in FY 2020. Of those who participated in the training and received their credential, 80 percent reported they were "strongly satisfied" with their experience. The majority of those who received their credential used an AROC mentor throughout the process and reported a positive experience.

Also in FY 2020, the Records Management Training Program established Records Management Instruction Support (ReMIS) services. ReMIS is a free service offering consulting and support to AROs to meet their needs for designing, developing, and implementing records management training in their agencies. Through ReMIS, NARA provides a customized eLearning course, *RM Fundamentals*, for agencies to use to train their own staff. In FY 2020, ReMIS had 67 individual requests from 54 agencies and four non-federal organizations. NARA developed and delivered 21 versions of *RM Fundamentals* to agencies for training their own staff.

NARA will stop accepting analog records as of December 31, 2022. The following legislative changes would facilitate implementation and improve the outcome. These changes would provide the Archivist of the United States with the authority to force action on records that are past their disposition date or currently unclassified and do not have a disposition date, and to unilaterally dispose of archival records in NARA's legal custody.

Proposed Legislative Change

Sec. XXX. Title 44, United States Code, is amended as follows:

- (a) In subsection (a)(2) of section 2107, strike "the head of such agency has certified in writing to the Archivist" and substitute "the Archivist determines, after consulting with the head of such agency."
- (b) In subsection (d) of section 2904, strike the first instance of "digital or electronic".
- (c) In subsection (e) of section 3303a, strike "the written consent of" and substitute "advance notice to".
- (d) In section 3308, strike "empower" and substitute "direct".

Red-line and Section-by-Section Analysis

Provision	Analysis
<p>§ 2107. Acceptance of records for historical preservation</p> <p>(a) In General.—When it appears to the Archivist to be in the public interest, the Archivist may—</p> <p>(2) direct and effect the transfer of records of a Federal agency determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States Government to the National Archives of the United States, as soon as practicable, and at a time mutually agreed upon by the Archivist and the head of that Federal agency not later than thirty years after such records were created or received by that agency, unless the head of such agency has certified in writing to the Archivist <u>the Archivist determines, after consulting with the head of such agency</u>, that such records must be retained in the custody of such agency for use in the conduct of the regular business of the agency;</p>	<p>This change would permit the Archivist of the United States to unilaterally take legal custody of <i>permanent records</i> that are past their scheduled disposition date but have not been voluntarily transferred to NARA by the originating agency.</p> <p>NARA currently stores approximately 27 million cubic feet of other agencies' records in the Federal Records Centers Program. Approximately 1.9 million cubic feet are either past their scheduled disposition date or not scheduled at all. If NARA had the authority to unilaterally adjudicate those records (including transferring them to NARA's legal custody), customer Federal agencies could save as much as \$9.8 million per year.</p>
<p>§ 2904. General responsibilities for records management</p> <p>(d) The Archivist shall promulgate regulations requiring all Federal agencies to transfer all digital or electronic records to the National Archives of the United States in digital or electronic form to the greatest extent possible.</p>	<p>This change would support the transition to fully digital government by directing the Archivist of the United States to establish regulations requiring the transfer of <i>all</i> records to the National Archives in digital or electronic form, to the fullest extent possible.</p>

Provision	Analysis
<p>§ 3303a. Examination by Archivist of lists and schedules of records lacking preservation value; disposal of records</p> <p>(e) The Archivist may approve and effect the disposal of records that are in the Archivist's legal custody, provided that records that had been in the custody of another existing agency may not be disposed of without the written consent of advance notice to the head of the agency.</p>	<p>This change would permit the Archivist of the United States to unilaterally dispose of <i>archival records</i> that no longer have historical value. Because NARA must provide for the continued storage and maintenance of these records, agencies have little incentive to concur in NARA disposal requests. As a result, NARA is currently spending resources to store records in our legal custody that we would otherwise dispose of.</p> <p>With the authority to unilaterally dispose of archival records, NARA could free up additional storage space and avoid future costs necessary to acquire new storage space for newly transferred records.</p>
<p>§ 3308. Disposal of similar records where prior disposal was authorized</p> <p>When it appears to the Archivist that an agency has in its custody, or is accumulating, records of the same form or character as those of the same agency previously authorized to be disposed of, he may empower direct the head of the agency to dispose of the records, after they have been in existence a specified period of time, in accordance with regulations promulgated under section 3302 of this title and without listing or scheduling them.</p>	<p>This change would permit the Archivist of the United States to direct agencies to dispose of <i>temporary records</i> that are past their scheduled disposition date and <i>unscheduled records</i> that would be temporary if they had been appropriately scheduled.</p> <p>NARA currently stores approximately 27 million cubic feet of other agencies' records in the Federal Records Centers Program. Approximately 1.9 million cubic feet are either past their scheduled disposition date or not scheduled at all. If NARA had the authority to unilaterally adjudicate those records (including by ordering their disposal), customer Federal agencies could save as much as \$9.8 million per year.</p>

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