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# National Archives and Records Administration



NATIONAL  
ARCHIVES

## **FY 2018**

### **CONGRESSIONAL JUSTIFICATION**

May 23, 2017

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**National Archives and Records Administration**

**SUMMARY of the FY 2018 REQUEST**

**Fiscal Year 2018 Budget Request**

**CONTENTS**

Summary of the Request.....	2
NARA Mission, Vision, and Goals .....	4
NARA Organization .....	6
Summary of Requested Appropriations Action .....	7
Total Discretionary Obligations by Object Classification.....	8

## Summary of the Request

The FY 2018 budget of the National Archives and Records Administration (NARA) requests \$376 million in discretionary appropriations. This is a decrease of -\$24 million from the annualized rate of operations in the FY 2017 Continuing Resolution (CR).

Within the aggregate request, \$364 million is requested for the Operating Expenses appropriation, \$4.2 million is requested for the NARA Office of Inspector General, and \$7.5 million is requested for Repairs and Restoration of NARA-owned buildings. NARA is not requesting appropriations for the National Historical Publications and Records Commission (NHPRC) Grants Program.

## Appropriations Request

(Dollars in Thousands)

	FY 2016 Enacted	FY 2017 Annualized CR level	FY 2018 Request	change from FY 2017
Operating Expenses	\$ 372,393	\$ 376,317	\$ 364,308	-12,009
Office of Inspector General	4,180	4,170	4,241	+71
Repairs and Restoration	7,500	7,481	7,500	+19
NHPRC Grants Program	5,000	4,988	0	-4,988
<b>NARA Appropriations Request</b>	<b>\$ 389,073</b>	<b>\$ 392,956</b>	<b>\$ 376,049</b>	<b>-16,907</b>
<i>Title VI, "NARA (Sec. 635)"</i>	<i>7,000</i>	<i>6,983</i>	<i>0</i>	<i>-6,983</i>
<i>Total Appropriations</i>	<i>\$ 396,073</i>	<i>\$ 399,939</i>	<i>\$ 376,049</i>	<i>-23,890</i>

NARA's request for Operating Expenses is a reduction of -\$19 million from the FY 2017 annualized CR level. NARA's request is the net of several program increases and reductions:

- (1) An increase of \$3.6 million to provide for the FY 2018 pay raise (1.9%) and the annualization of the FY 2017 pay raise (2.1%).
- (2) Reductions totaling -\$23 million, including non-recur of funds provided to acquire new archival storage space for Congressional records (-\$7 million); program efficiency savings, including workforce reductions (-\$7 million and 40 FTE); non-recur of funds used for the FY 2017 Presidential Transition (-\$4 million); reduced services and maintenance at National Archives facilities, including Presidential Libraries (-\$3 million); and reduced investments in Information Technology (IT) development projects (-\$2 million).
- (3) An increase of \$850 thousand to provide for additional rental payments to the Government Publishing Office for new archival storage space acquired under sec. 635 of Division E of the FY 2016 Consolidated Appropriations Act (P.L. 114-113).

NARA requests an increase of \$71 thousand to the Office of Inspector General appropriation, to provide for the FY 2018 pay raise (1.9%) and the annualization of the FY 2017 pay raise (2.1%).

NARA requests an increase of \$19 thousand to the Repairs and Restoration appropriation, to restore funding rescinded in the FY 2017 annualized CR level.

NARA does not request new funding for the NHPRC Grants Program appropriation, which is a reduction of -\$5 million from amounts provided in the FY 2017 annualized CR level.

**Summary of Discretionary Budget Authority**

*(Dollars in Thousands)*

	FY 2016 Enacted	FY 2017 Annualized CR level	FY 2018 Request	<i>change from FY 2017</i>
Operating Expenses	\$ 372,393	\$ 376,317	\$ 364,308	-12,009
<u>Redemption of debt</u>	<u>-21,208</u>	<u>-23,049</u>	<u>-25,050</u>	<u>-2,001</u>
Net budget authority.....	\$ 351,185	\$ 353,268	\$ 339,258	-14,010
Office of Inspector General	4,180	4,170	4,241	+71
Repairs and Restoration	7,500	7,481	7,500	+19
NHPRC Grants Program	5,000	4,988	0	-4,988
<i>Subtotal, net budget authority</i>	<i>\$ 367,865</i>	<i>\$ 369,907</i>	<i>\$ 350,999</i>	<i>-18,908</i>
<i>TITLE VI, "NARA (Sec. 635)"</i>	<i>7,000</i>	<i>6,983</i>	<i>0</i>	<i>-6,983</i>
<i>Total, net budget authority</i>	<i>\$ 374,865</i>	<i>\$ 376,890</i>	<i>\$ 350,999</i>	<i>-25,891</i>

NARA's budget requests \$351 million in net budget authority for FY 2018, a reduction of - \$26 million from the FY 2017 annualized CR level. NARA net budget authority is calculated as the appropriation request, minus amounts used for repayments of principal on debt held by the public that was used to finance the construction of the National Archives building at College Park, MD. Repayments of principal are provided from the Operating Expenses appropriation. For FY 2018, this amount totals \$25 million. NARA will complete repayment on this debt in FY 2019.

## **NARA Mission, Vision, and Goals**

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

### **VISION**

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

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

### **MISSION**

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

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

### **VALUES**

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

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

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

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

## STRATEGIC GOALS

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

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

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

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

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

## TRANSFORMATIONAL OUTCOMES

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

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

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

***An Agency of Leaders.***—We will foster a culture of leadership, not just as a position but as the way we all conduct our work.

***A Great Place to Work.***—We will transform NARA into a great place to work through trust and empowerment of all of our people, the agency's most vital resource.

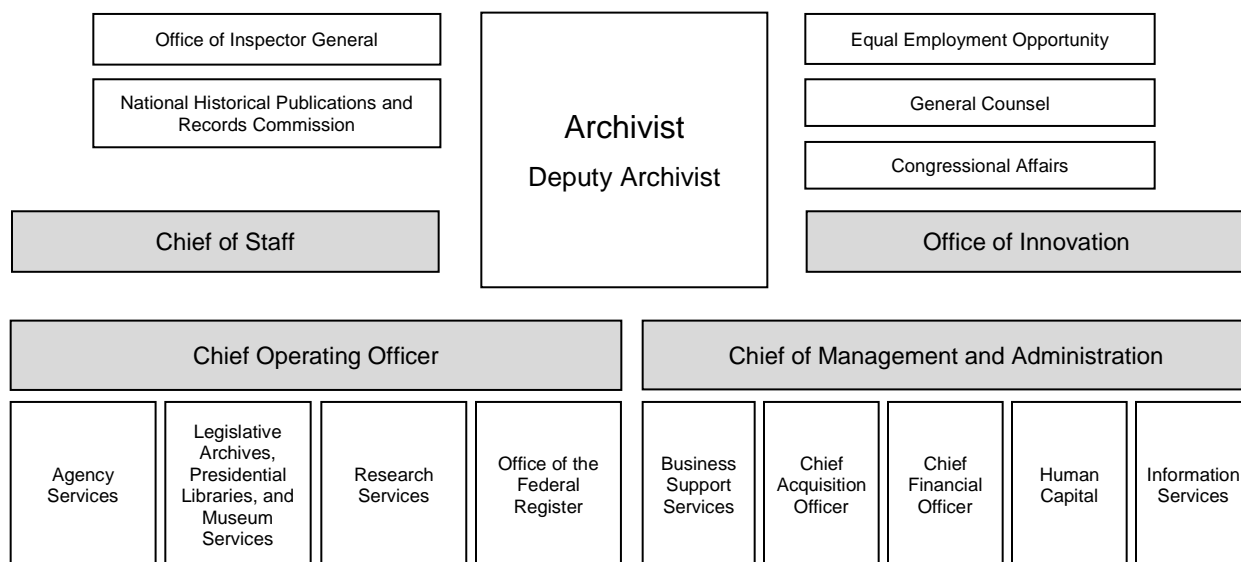
***A Customer-Focused Organization.***—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.

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

## NARA Organization

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

### National Archives and Records Administration



- *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 2016 Enacted	FY 2017 Annualized CR level	FY 2018 Request
Operating Expenses:			
Legislative, Presidential, and Museum Services	\$ 115,002	\$ 109,520	\$ 103,396
Citizen Services	99,548	104,240	101,311
Agency and Related Services	77,026	81,177	78,023
Facility Operations	81,019	81,380	81,578
<b>Total Appropriation</b>	<b>\$ 372,595</b>	<b>\$ 376,317</b>	<b>\$ 364,308</b>
<i>Redemption of debt</i>	<u>-21,208</u>	<u>-23,049</u>	<u>-25,050</u>
<i>Net budget authority</i>	<b>\$ 351,387</b>	<b>\$ 353,268</b>	<b>\$ 339,258</b>
Office of Inspector General	4,180	4,170	4,241
Repairs and Restoration	7,500	7,481	7,500
NHPRC Grants Program	5,000	4,988	0
<b>Total Appropriations Request</b>	<b>\$ 389,275</b>	<b>\$ 392,956</b>	<b>\$ 376,049</b>
Title VI, "NARA (Sec. 635)"	457	6,983	0
<b>Total Appropriations</b>	<b>\$ 389,732</b>	<b>\$ 399,939</b>	<b>\$ 376,049</b>
<i>Total, Discretionary net budget authority</i>	<b>\$ 368,524</b>	<b>\$ 376,890</b>	<b>\$ 350,999</b>
Total Full-Time Equivalents (FTE)	2,856.0	2,885.0	2,817.0



National Archives and Records Administration  
Summary of the FY 2018 Request

**Total Discretionary Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
11.1 Full-time, permanent.....	\$ 130,135	\$ 138,344	\$ 139,148
11.3 Other than full-time permanent.....	155	150	153
11.5 Other personnel compensation.....	1,857	1,718	1,754
11.8 Special personal services payments.....	59	60	61
12.1 Civilian personnel benefits.....	42,929	43,516	43,775
13.0 Benefits for former personnel.....	100	100	102
21.0 Travel and transportation of persons.....	986	1,144	1,039
22.0 Transportation of things.....	214	556	296
23.1 Rental payments to GSA.....	6,768	6,768	6,950
23.2 Rental payments to others.....	1,036	1,208	1,633
23.3 Communications, utilities, and misc. charges.....	13,527	11,898	11,898
24.0 Printing and reproduction.....	608	754	604
25.1 Advisory and assistance services.....	10,195	8,246	8,202
25.2 Other services from non-Federal sources.....	27,884	30,458	24,613
25.3 Other goods and services from Federal sources	17,500	17,791	16,458
25.4 Operation and maintenance of facilities.....	33,806	33,709	31,131
25.5 Research and development contracts.....	139	185	185
25.7 Operation and maintenance of equipment.....	39,122	39,179	36,798
26.0 Supplies and materials.....	2,680	2,843	2,676
31.0 Equipment.....	15,230	13,489	12,702
32.0 Land and structures.....	15,992	15,481	7,865
41.0 Grants, subsidies, and contributions.....	5,263	5,721	0
42.0 Insurance claims and indemnities.....	70	0	0
43.0 Interest and dividends.....	7,764	5,923	3,922
94.0 Financial transfers.....	21,208	23,049	25,050
<b>99.0 Obligations, appropriated.....</b>	<b>\$ 395,226</b>	<b>\$ 402,289</b>	<b>\$ 377,014</b>
<i>Subtotal, PC&amp;B.....</i>	<i>175,235</i>	<i>183,888</i>	<i>184,993</i>
<i>Subtotal, non-labor.....</i>	<i>219,992</i>	<i>218,401</i>	<i>192,021</i>

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

**National Archives and Records Administration**

**OPERATING EXPENSES**

**Fiscal Year 2018 Budget Request**

**CONTENTS**

Appropriation Language .....	2
Program Description .....	3
Explanation of Changes .....	4
Amounts Available for Obligation.....	6
Obligations by Object Classification .....	7
NARA Budget Activities .....	8
Legislative Archives, Presidential Libraries, and Museum Services ....	10
Citizen Services .....	11
Agency and Related Services .....	14
Facility Operations .....	17

**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, **\$364,308,000.**

## Program Description

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

- *Legislative Archives, Presidential Libraries, and Museum Services.*—This activity provides for the Center for Legislative Archives and the Office of Presidential Materials, which provide records management services to Congress and the White House; the Presidential Libraries of fourteen former Presidents; and nationwide education, outreach, and exhibits programs, including the National Archives Museum in Washington, DC.
- *Citizen Services.*—This activity provides for public access to and engagement with permanently valuable Federal government records by the researcher community and the general public at public research rooms, on-line at [www.archives.gov](http://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, including interest payments and repayments of principal on debt associated with construction of the National Archives building at College Park, MD. Appropriations for repayments of principal (“redemption of debt”) are excluded from NARA budget authority.

National Archives and Records Administration  
 Operating Expenses

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**Explanation of Changes**  
 (Dollars in Thousands)

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	<u>FTE</u>	<u>Budget Authority</u>
FY 2017 Annualized Continuing Resolution level.....	1,548.0	\$ 383,300
FY 2018 Appropriation request.....	<u>1,508.0</u>	<u>364,308</u>
Net Change.....	-40.0	-\$ 18,992
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	<u>FTE</u>	<u>Budget Authority</u>
<b>Maintaining Current Levels:</b>		
FY 2018 pay raise and annualization of FY 2017 pay raise		\$ 3,560
<b>Program Decreases:</b>		
Non-recur one-time funding for new space (Sec. 635)		-\$ 6,983
Program efficiency savings (including non-recurs)	-40.0	-6,875
Non-recur funding for Presidential Transition		-4,223
Reduce services and maintenance at National Archives facilities		-2,940
Re-prioritize the Information Technology portfolio	—	<u>-2,381</u>
Subtotal, Program Decreases.....	-40.0	-\$ 23,402
<b>Program Increases:</b>		
Rent for new GPO space	—	<u>850</u>
Subtotal, Program Increases.....	0.0	\$ 850
<b>Net Change</b> .....	<b>0.0</b>	<b>-\$ 18,992</b>

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The FY 2018 budget requests an appropriation of **\$364,308 thousand and 1,508 FTE** for NARA Operating Expenses. This reflects a net decrease of -\$18,992 thousand and -40 FTE from the annualized rate of operations in the FY 2017 Continuing Resolution. NARA's request is the result of the following changes:

- (1) An increase of **\$3,560 thousand**, to provide for the FY 2018 pay raise (1.9 percent) and the annualization of the FY 2017 pay raise (2.1 percent).
- (2) Program reductions totaling **-\$23,402 thousand** and -40 FTE, including:
  - \$6,983 thousand from non-recurring funding for new space. Section 635 of Division E of the FY 2016 Consolidated Appropriations Act (P.L. 114-113) provided funding for the improvement of “an additional leased facility” to store Congressional records in NARA’s custody. NARA is using the funds to modify approximately 24,000 square feet of vacant space in the Government Publishing Office (GPO) headquarters building in Washington, DC, to provide for new storage space for Congressional records. These funds are no longer needed in FY 2018.
  - \$6,875 thousand in program efficiency savings, primarily from workforce reductions through attrition and from small reductions to programs not directly focused on program delivery.
  - \$4,223 thousand from non-recurring funding for the FY 2017 Presidential Transition. These funds were used for one-time costs including the acquisition of hardware to transport electronic Presidential records and costs of transporting Presidential records and artifacts to a temporary storage facility.
  - \$2,940 thousand in reductions to the operations and maintenance of National Archives facilities, including Presidential Libraries and Museums. Savings will come from reducing landscaping and janitorial services, reducing funds dedicated to minor building repairs, and reducing utility costs due to improved building energy efficiency.
  - \$2,381 thousand from reducing funds dedicated to selected Information Technology (IT) development projects. NARA would concentrate resources on development of a smaller number of IT systems and strictly limit enhancements to legacy systems.
- (3) Program increases of **\$850 thousand** to provide for rental payments to GPO for the new storage space that NARA is improving with funds provided in sec. 635 of the FY 2016 Appropriations Act. NARA expects to pay approximately \$850 thousand in annual rent to GPO once renovations are complete and NARA occupies the space in FY 2018.

National Archives and Records Administration  
Operating Expenses

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
Unobligated balance, no-year appropriation.....	\$ 574	\$ 7,117	\$ 7,557
Transfer in from trust fund accounts.....	\$ 594	\$ 600	\$ 600
Discretionary authority:			
Annual appropriation.....	\$ 372,393	\$ 376,317	\$ 364,308
No-year appropriation (Sec. 635).....	7,000	6,983	0
<b>Total discretionary authority.....</b>	<b>\$ 379,393</b>	<b>\$ 383,300</b>	<b>\$ 364,308</b>
Reimbursable authority:			
New spending authority collected.....	\$ 2,124	\$ 1,932	\$ 1,356
Change in uncollected payments.....	0	0	0
Subtotal, reimbursable authority.....	\$ 2,124	\$ 1,932	\$ 1,356
Unobligated balance, expiring.....	-\$ 392	\$ 0	\$ 0
Unobligated balance, available in future years.....	-\$ 7,117	-\$ 7,557	-\$ 7,557
Unobligated balance, reimbursable.....	\$ 0	\$ 0	\$ 0
Total obligations.....	\$ 375,176	\$ 385,392	\$ 366,264
<b>Obligations, annual appropriation.....</b>	<b>\$ 372,595</b>	<b>\$ 376,917</b>	<b>\$ 364,908</b>
Obligations, no-year appropriation.....	457	6,543	0
Obligations, reimbursable.....	2,124	1,932	1,356
<i>Net outlays</i>	<i>\$ 357,433</i>	<i>\$ 347,903</i>	<i>\$ 339,784</i>

**Reimbursable Programs:** In FY 2018, NARA anticipates providing reimbursable services to the National Archives Trust Fund (as authorized by 44 U.S.C. § 2302) in the amount of \$1,356 thousand and 23 FTE. Reimbursable services provide for the costs of reproducing archival documents for sale to the public and other, related projects.

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

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
11.1 Full-time, permanent.....	\$ 127,968	\$ 135,922	\$ 136,648
11.3 Other than full-time permanent.....	155	150	153
11.5 Other personnel compensation.....	1,690	1,531	1,561
11.8 Special personal services payments.....	59	60	61
12.1 Civilian personnel benefits.....	42,053	42,537	42,765
13.0 Benefits for former personnel.....	100	100	102
21.0 Travel and transportation of persons.....	952	1,111	1,006
22.0 Transportation of things.....	214	556	296
23.1 Rental payments to GSA.....	6,768	6,768	6,950
23.2 Rental payments to others.....	1,036	1,208	1,633
23.3 Communications, utilities, and misc. charges....	13,527	11,898	11,898
24.0 Printing and reproduction.....	607	754	604
25.1 Advisory and assistance services.....	9,262	7,777	7,777
25.2 Other services from non-Federal sources.....	27,782	30,458	24,613
25.3 Other goods & services from Federal sources..	17,455	17,791	16,458
25.4 Operation and maintenance of facilities.....	33,154	33,709	31,131
25.5 Research and development contracts.....	139	185	185
25.7 Operation and maintenance of equipment.....	39,112	39,169	36,788
26.0 Supplies and materials.....	2,624	2,793	2,626
31.0 Equipment.....	14,980	13,469	12,682
32.0 Land and structures.....	3,916	0	0
42.0 Insurance claims and indemnities.....	70	0	0
43.0 Interest and dividends.....	7,764	5,923	3,922
94.0 Financial transfers.....	21,208	23,049	25,050
<b>99.0 Obligations, annual appropriation.....</b>	<b>\$ 372,595</b>	<b>\$ 376,917</b>	<b>\$ 364,908</b>
<i>Subtotal, PC&amp;B.....</i>	<i>172,025</i>	<i>180,300</i>	<i>181,290</i>
<i>Subtotal, non-labor.....</i>	<i>200,570</i>	<i>196,617</i>	<i>183,618</i>
99.0 Obligations, no-year appropriation (OC 32.0)....	457	6,543	0
99.0 Obligations, reimbursable.....	2,124	1,932	1,356
99.0 Total obligations.....	<b>\$ 375,176</b>	<b>\$ 385,392</b>	<b>\$ 366,264</b>
Full-Time Equivalents (FTE) Direct.....	1,497.0	1,548.0	1,508.0
Full-Time Equivalents (FTE) Reimbursable.....	30.0	30.0	23.0



## NARA Budget Activities

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

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

- *Legislative Archives, Presidential Libraries, and Museum Services* focuses on the records needs of the White House and Congress, researchers who make use of Presidential and Congressional records, and museum visitors, educators, and students nationwide.
- *Citizen Services*. — This activity includes:
  - The Research Services organization, which provides public access to original, archived government records for researchers and citizens and preserves archival holdings for the benefit of future generations.
  - The Office of Innovation, which provides public access to and engagement with government records through the internet at [www.archives.gov](http://www.archives.gov), social media, and innovative tools that support collaboration with the public.
- *Agency and Related Services*.—This activity includes:
  - The Agency Services organization, which supports the records management needs of all Federal agencies and represents the public's interest in the transparency of those records;
  - Electronic records management, preservation, and access activities provided through the Electronic Records Archives (ERA) system, which is managed by the Information Services organization; and
  - The Office of the Federal Register, which fulfills a variety of statutory responsibilities, including publication of the daily Federal Register, the Code of Federal Regulations, and the U.S. Statutes-at-Large.
- *Facility Operations*.—This activity provides for the operations and maintenance of NARA facilities, which are managed by the Business Support Services organization, including interest payments and repayments of principal on debt associated with construction of the National Archives building in College Park, MD.

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

National Archives and Records Administration  
Operating Expenses

**Obligations by Program Activity**  
(Dollars in Thousands)

	FY 2016		FY 2017 Annualized		FY 2018	
	Actual		CR level		Request	
	FTE	Obligations	FTE	Authority	FTE	Authority
<b>1. Legislative, Presidential, and Museum Services:</b>						
Presidential Libraries	387.0	\$98,243	387.0	\$92,772	376.0	\$87,338
Legislative Archives, Presidential Materials, and Public Programs	<u>91.0</u>	<u>16,759</u>	<u>86.0</u>	<u>16,748</u>	<u>84.0</u>	<u>16,058</u>
Subtotal, LPM Services.....	478.0	\$115,002	473.0	\$109,520	460.0	\$103,396
<b>2. Citizen Services:</b>						
Research Services	617.0	\$85,943	674.0	\$90,614	655.0	\$88,292
Office of Innovation	<u>73.0</u>	<u>13,605</u>	<u>72.0</u>	<u>13,627</u>	<u>69.0</u>	<u>13,019</u>
Subtotal, Citizen Services.....	690.0	\$99,548	746.0	\$104,240	724.0	\$101,311
<b>3. Agency and Related Services:</b>						
Agency Services	247.0	\$44,936	234.0	\$44,062	230.0	\$42,788
Electronic Records Archives	18.0	20,657	29.0	25,350	29.0	23,765
Federal Register	<u>64.0</u>	<u>11,433</u>	<u>66.0</u>	<u>11,765</u>	<u>65.0</u>	<u>11,470</u>
Subtotal, Agency and Related.....	329.0	\$77,026	329.0	\$81,177	324.0	\$78,023
<b>4. Facility Operations:</b>						
NARA Facility Operations	0.0	\$81,019	0.0	\$81,380	0.0	\$81,578
GPO space improvements (Sec. 635)	<u>0.0</u>	<u>457</u>	<u>0.0</u>	<u>6,983</u>	<u>0.0</u>	<u>0</u>
Subtotal, Facility Operations.....	0.0	\$81,476	0.0	\$88,363	0.0	\$81,578
<b>Total, Appropriations Request.....</b>	<b>1,497.0</b>	<b>\$373,052</b>	<b>1,548.0</b>	<b>\$383,300</b>	<b>1,508.0</b>	<b>\$364,308</b>

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

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
LPM Services	\$ 115,002	\$ 109,520	\$ 103,396

NARA's FY 2018 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- \$65,316 thousand for the Presidential Libraries system, including \$28,620 thousand for the operations and maintenance of facilities;
- \$5,488 thousand for nationwide education, outreach, and exhibits programs;
- \$2,652 thousand for the Center for Legislative Archives, which provides records management services for Congress; and
- \$2,160 thousand for the Office of Presidential Materials, which provides records management guidance and courtesy storage for the incumbent administration and coordinates special access and declassification at the Presidential Libraries.

An additional \$27,780 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 2018 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. Making Presidential records subject to FOIA has reduced the speed at which NARA can make Presidential records available to the public. NARA must review all Presidential papers page-by-page, which means it will take decades to make all of the records available to the public. Processing records in response to FOIA requests is even more time-consuming than processing the same number of pages in a systematic, archival fashion and does not produce discrete records collections that would be meaningful to the general public if released.

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

**LPM Services FY 2018 Budget Request**

The FY 2018 budget request provides \$103,396 thousand for LPM Services, a net decrease of -\$6,124 thousand from the FY 2017 Annualized CR level, including:

- +\$872 thousand for the FY 2018 pay raise and annualization of FY 2017 pay raise;
- -\$2,151 thousand from reductions in the operations and maintenance of Presidential Library and Museum facilities nationwide;
- -\$1,975 thousand from efficiency savings, including workforce reductions; and
- -\$2,870 thousand from decreases in the allocated cost of management and administration, including reductions to NARA's information technology portfolio.

**Citizen Services**

*(Dollars in Thousands)*

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
Research Services	\$ 85,943	\$ 90,614	\$ 88,292
Office of Innovation	13,605	13,627	13,019
Total	\$ 99,548	\$104,240	\$ 101,311

NARA's FY 2018 request for *Citizen Services* includes:

- \$58,764 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;
- \$8,344 thousand for the Office of Innovation, which leads NARA open government and digitization efforts, maintains NARA's web and social media presence, and provides innovative tools to enhance collaboration and engagement with the public.

An additional \$34,204 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

## Research Services Strategic Direction

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

*Management challenges and opportunities for FY 2018 and future years:*

- NARA currently holds more than 4.9 million cubic feet of archival records, but it anticipates that an additional 3 million cubic feet of permanently valuable, historical records will be transferred to Research Services by FY 2030. NARA must have sufficient storage space that meets archival standards and sufficient resources to provide for the preservation, processing, description, and review for restrictions necessary to make these records available to the public now and in the future.
- Researchers and the public expect access to more contemporary records, yet modern government records are increasingly subject to varied and complex restrictions on access. Contemporary records often contain personally identifiable information (PII), national security, and other restrictions that require detailed review and screening before being released to the public. These records are often inadequately described for easy access. Furthermore, many finding aids for personal data series records also contain PII, making access and use of outside sources to describe and digitize these holdings especially challenging.

## Research Services FY 2018 Budget Request

The FY 2018 budget request provides \$88,293 thousand for Research Services, a net decrease of -\$2,321 thousand from the FY 2017 annualized CR level, including:

- *+\$1,069 thousand for the FY 2018 pay raise and annualization of the FY 2017 pay raise;*
- *-\$339 thousand in efficiency savings that will reduce NARA's workforce; and*
- *-\$3,051 thousand from decreases in allocated costs of management and administration, including reductions to NARA's information technology portfolio.*

## 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 Innovation Office provides on-line public access and encourages public engagement in historical government records by leading crowdsourcing initiatives, developing innovative public programs, and building relationships with external organizations, including Wikipedia and the Digital Public Library of America (DPLA).

*Management challenges and opportunities for FY 2018 and future years:*

- NARA actively collaborates with Wikipedia and Wikimedia. Since 2010, the Office of Innovation has added more than 127,000 digital copies of NARA records to Wikimedia Commons, resulting in over 5,700 NARA images that have been used in 44,000 Wikipedia articles. NARA has contributed 1.9 million digital copies of NARA records for the launch of DPLA, a collaborative effort between archives, libraries, and museums to create an on-line library and capture America's living history. Collaborations with these and other organizations have allowed NARA to expand public access to historical government records far beyond what could be done with NARA's tools and resources alone.
- There is a large and growing public demand for on-line access to government information and records. In FY 2016, [www.archives.gov](http://www.archives.gov) and other NARA websites realized almost 86 million visits, including over two million visits to NARA's on-line catalog. "Today's Document", a Tumblr blog produced by the Office of Innovation, was named by Time Magazine as one of the Top 30 Tumblrs to follow in 2013.

## Office of Innovation FY 2018 Budget Request

The FY 2018 budget request provides \$13,019 thousand for the Office of Innovation, a net decrease of -\$608 thousand from the FY 2017 annualized CR level, including:

- +\$150 thousand for the FY 2018 pay raise and annualization of the FY 2017 pay raise;
- -\$275 thousand in efficiency savings, including workforce reductions and;
- -\$483 thousand from increases in allocated costs of management and administration, including reductions to NARA's information technology portfolio.

**Agency and Related Services**  
 (Dollars in Thousands)

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
Agency Services	\$ 44,936	\$ 44,062	\$ 42,788
Electronic Records Archives	20,657	25,350	23,765
Federal Register	11,433	11,765	11,470
Total	\$ 77,026	\$ 81,177	\$ 78,023

NARA's FY 2018 request for *Agency and Related Services* includes:

- \$27,348 thousand for the Agency Services organization, including \$3,201 thousand for the Information Security Oversight Office, \$6,284 thousand for the National Declassification Center, and \$1,012 thousand for the Office of Government Information Services;
- \$23,765 thousand for the electronic records management activities of the Electronic Records Archive system; and
- \$7,542 thousand for the Office of the Federal Register.

An additional \$19,368 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

**Agency Services Strategic Direction**

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

*Management challenges and opportunities for FY 2018 and future years:*

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

- NARA's National Declassification Center (NDC) has successfully retired the declassification backlog of previously reviewed records that existed in January 2010. Since then, the NDC has completed quality assurance review for all classified series that were accessioned between January 2010, and December 31, 2013 and previously subject to automatic declassification. The NDC is now analyzing classified series that were accessioned after 2014, but the number of new, unprocessed records continues to grow. Tens of millions of new pages require declassification processing annually, many of which require a more intensive declassification review and processing than the FY 2010 backlog.
- There is a growing need to find new, more cost-effective means to administer the Freedom of Information Act (FOIA). In FY 2010, Federal agencies reported spending \$400 million to process nearly 600,000 FOIA requests, and received over 10,000 administrative appeals from denials of access. Agencies spent over \$22 million on litigation-related activities. These statistics highlight the importance of the dispute resolution processes offered by the Office of Government Information Services (OGIS) as a cost effective tool for resolving FOIA disputes and an alternative to litigation.

### **Agency Services FY 2018 Budget Request**

The FY 2018 budget request provides \$42,788 thousand for Agency Services, a net decrease of -\$1,274 thousand from the FY 2017 annualized CR level, including:

- +\$524 thousand for the FY 2018 pay raise and annualization of the FY 2017 pay raise;
- -\$203 thousand in efficiency savings; and
- -\$1,595 thousand from decreases in allocated costs of management and administration, including reductions to NARA's information technology portfolio.

### **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 2018 and future years:*

- Maintaining effective IT security remains a challenge for all Federal agencies, including NARA. NARA has identified security vulnerabilities which present risk to NARA systems and has developed an aggressive plan to address control deficiencies that threaten IT Security. NARA will stand-up new, automated vulnerability monitoring to aid in rapidly detecting and responding to information security events. NARA must also improve access



controls and develop new procedures to manage risk on a continuous basis. As NARA migrates more systems to cloud hosting environments, the agency may require additional controls in order to meet information security obligations.

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

### ***Electronic Records Archives FY 2018 Budget Request***

The FY 2018 budget request provides \$23,765 thousand for the ERA system, a net decrease of -\$1,585 thousand from the FY 2017 annualized CR level, including:

- +\$92 thousand for the FY 2018 pay raise and annualization of the FY 2017 pay raise; and
- -\$1,677 thousand from reducing NARA's information technology portfolio.

Funds requested for ERA in FY 2018 will be used to provide for maintenance of hardware and software, and provide for a small staff and contractor support for networking, maintenance, IT security, backup and recovery, and help desk functions for ERA.

### **Federal Register Strategic Direction**

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

*Management challenges and opportunities for FY 2018 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 2018 Budget Request**

The FY 2018 budget request provides \$11,470 thousand for the Office of the Federal Register, a net decrease of -\$295 thousand from the FY 2017 annualized CR level, including:

- +\$137 thousand for the FY 2018 pay raise and annualization of the FY 2017 pay raise;
- -\$27 thousand in efficiency savings; and
- -\$405 thousand from increases in allocated costs of management and administration, including reductions to NARA’s information technology portfolio.

**Facility Operations**

*(Dollars in Thousands)*

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
NARA Facility Operations	\$ 81,019	\$ 81,380	\$ 81,578
GPO space improvements	457	6,983	0
Total	\$ 81,476	\$ 88,363	\$ 81,578

NARA’s FY 2018 request for *Facility Operations* includes:

- \$52,606 thousand for rent, utilities, and other costs of operations and maintenance at three NARA-owned Federal buildings and 28 leased facilities; and
- \$28,972 thousand for interest payments and repayments of principal on debt held by the public that was issued to finance the construction of the National Archives building in College Park, MD. \$3,922 thousand is provided for interest payments and \$25,050 thousand is provided for repayments of principal.

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

## **Business Support Services Strategic Direction**

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

The *Business Support Services* organization supports the NARA mission by providing efficient and effective centralized administrative services, including project management, acquisitions, financial management, physical security, and facility and property management.

*Management challenges and opportunities for FY 2018 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 700,000 cubic feet of newly-accessioned archival records since FY 2011, an increase of 16 percent, but has not seen an equivalent increase in space available for the storage of these records. NARA expects to receive at least 3 million cubic feet of new archival records by the end of FY 2030.
- Recent high-profile records thefts highlight the importance of a robust holdings protection program. NARA has improved employee training in holdings protection, instituted exit screenings to mitigate the risk of loss from internal sources, and is collaborating with partner institutions to share best practices in holdings protection. NARA is developing a nationwide facility assessment program to refine holdings protection procedures and identify and mitigate the areas of highest risk.

## **Facility Operations FY 2018 Budget Request**

The FY 2018 budget request provides \$81,578 thousand for Facility Operations, a net decrease of -\$6,785 thousand from the FY 2017 annualized CR level, including:

- *-\$6,983 thousand from non-recurring one-time funds provided in section 635 of the FY 2016 Appropriations Act to acquire additional storage space for Congressional records in NARA's physical custody;*
- *-\$652 thousand in efficiency savings through reductions in archival facilities operations and maintenance costs; and*
- *+\$850 thousand for rental payments to GPO for new archival storage space that NAAR acquired using sec. 635 funding.*

**National Archives and Records Administration**

**OFFICE OF INSPECTOR GENERAL**

**Fiscal Year 2018 Budget Request**

**CONTENTS**

Appropriation Language .....	2
Program Description.....	2
Explanation of Changes .....	3
Summary of the Request.....	3
Amounts Available for Obligation.....	5
Obligations by Object Classification .....	5

### **Appropriation Language**

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Reform Act of 2008, Public Law 110–409, 122 Stat. 4302–16 (2008), and the Inspector General Act of 1978 (5 U.S.C. App.), and for the hire of passenger motor vehicles, **\$4,241,000.**

### **Program Description**

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

**Explanation of Changes**  
(Dollars in Thousands)

	<u>FTE</u>	<u>Budget Authority</u>
FY 2017 Annualized Continuing Resolution level.....	19.0	\$ 4,170
FY 2018 Appropriation request.....	<u>19.0</u>	<u>4,241</u>
Net Change.....	0.0	\$ 71

	<u>FTE</u>	<u>Budget Authority</u>
FY 2018 pay raise and annualization of FY 2017 pay raise		<u>71</u>
<b>Net Change</b> .....	<b>0.0</b>	<b>\$ 71</b>

**Summary of the Request**

The FY 2018 budget requests \$4,241 thousand and 19 FTE for the Office of Inspector General (OIG), an increase of \$71 thousand from the annualized rate of operations provided in the FY 2017 Continuing Resolution. The requested increase provides for the FY 2018 pay raise (1.9 percent) and the annualization of the FY 2017 pay raise (2.1 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.

- The OIG request includes \$45 thousand for training in FY 2018, to support the continuing professional development of OIG staff. The Government Accountability Office (GAO) states that all auditors should receive at least 80 hours of training every two years. Auditors require training in areas such as: contract and grant auditing; performance management; fraud auditing; and information technology (IT) security, project management, and network and applications management. Special agents are required to receive periodic refresher training in: trial process; Federal criminal and civil legal updates; interviewing techniques and policy; law of arrest, search, and seizure; firearms use; and physical conditioning and defensive tactics. Management, legal, and administrative staff also require periodic training to remain proficient and effective at their jobs.
- NARA'S OIG supports the interagency Council of Inspectors General on Integrity and Efficiency (CIGIE). NARA expects to contribute approximately \$12,540 in FY 2018.

## **Strategic Direction**

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

OIG audits and investigations cover all aspects of NARA operations at 45 facilities nationwide. NARA holds millions of cubic feet of historic records, and an ever growing electronic repository of classified and highly sensitive records, including those of the 9/11 and Warren Commissions, military and civilian personnel records, and Presidential records. NARA also holds hundreds of thousands of artifacts, including high-value Presidential gifts.

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

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

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
Discretionary authority:			
Annual appropriation.....	\$ 4,180	\$ 4,170	\$ 4,241
Unobligated balance, expiring.....	-\$ 242	\$ 0	\$ 0
<b>Total obligations.....</b>	<b>\$ 3,938</b>	<b>\$ 4,170</b>	<b>\$ 4,241</b>
<i>Net outlays</i>	<i>\$ 3,904</i>	<i>\$ 4,527</i>	<i>\$ 4,234</i>

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
11.1 Full-time, permanent.....	\$ 2,167	\$ 2,422	\$ 2,500
11.5 Other personnel compensation.....	167	187	193
12.1 Civilian personnel benefits.....	876	979	1,010
21.0 Travel and transportation of persons.....	34	33	33
25.1 Advisory and assistance services.....	346	469	425
25.2 Other services from non-Federal sources.....	16	0	0
25.3 Other goods & services from Fed. sources.....	43	0	0
25.7 Operation and maintenance of equipment.....	10	10	10
26.0 Supplies and materials.....	50	50	50
31.0 Equipment.....	229	20	20
<b>99.0 Total obligations.....</b>	<b>\$ 3,938</b>	<b>\$ 4,170</b>	<b>\$ 4,241</b>
<i>Subtotal, PC&amp;B.....</i>	<i>3,210</i>	<i>3,588</i>	<i>3,703</i>
<i>Subtotal, non-labor.....</i>	<i>728</i>	<i>582</i>	<i>538</i>
Full-Time Equivalents (FTE).....	17.0	19.0	19.0



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**National Archives and Records Administration**

**REPAIRS AND RESTORATION**

**Fiscal Year 2018 Budget Request and**

**Capital Improvements Plan**

**CONTENTS**

Appropriation Language .....	2
Analysis of Language Provisions and Changes.....	2
Program Description.....	2
Explanation of Changes .....	3
Summary of the Request.....	3
Amounts Available for Obligation.....	4
Obligations by Object Classification .....	4
FY 2018 Capital Improvements Plan .....	5

### **Appropriation Language**

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage for holdings, **\$7,500,000**, to remain available until expended [ : *Provided, That from amounts made available under this heading in Public Laws 111–8 and 111–117 for necessary expenses related to the repair and renovation of the Franklin D. Roosevelt Presidential Library and Museum in Hyde Park, New York, the remaining unobligated balances shall be available to implement the National Archives and Records Administration Capital Improvement Plan.* ] .

### **Analysis of Language Provisions and Changes**

NARA proposes to delete the bracketed language above. This language was provided in the FY 2016 Consolidated Appropriations Act (P.L. 114-113) to authorize the one-time transfer of unobligated balances from prior-year appropriations. This language does not need to be continued in FY 2018 and future years.

### **Program Description**

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

**Explanation of Changes**  
(Dollars in Thousands)

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	Budget Authority
FY 2017 Annualized Continuing Resolution level.....	\$ 7,481
FY 2018 Appropriation request.....	<u>7,500</u>
Net Change.....	\$ 19

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**Summary of the Request**

The FY 2018 budget requests \$7,500 thousand for Repairs and Restoration of NARA-owned Federal buildings in FY 2018, a slight increase from the annualized rate of operations provided in the FY 2017 Continuing Resolution. The requested increase restores amounts rescinded in the FY 2017 CR. This appropriation provides for major repairs and renovations to NARA buildings necessary to maintain health and safety standards for the occupants, preserve archival documents stored in NARA facilities, and protect the value of government real property assets.

The FY 2018 budget request provides for repairs and alterations to the 17 Federal buildings that NARA owns, operates, and maintains: the National Archives buildings in Washington, DC, College Park, MD, and Atlanta, GA, and fourteen Presidential Libraries and Museums across the United States.

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

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

National Archives and Records Administration  
Repairs and Restoration

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
Unobligated balance carried forward.....	\$ 7,088	\$ 1,670	\$ 300
Recoveries of prior-year obligations.....	\$ 55	\$ 87	\$ 65
New discretionary authority:			
No-year appropriation.....	\$ 7,500	\$ 7,481	\$ 7,500
<b>New Discretionary authority.....</b>	<b>\$ 7,500</b>	<b>\$ 7,481</b>	<b>\$ 7,500</b>
Unobligated balance, available in future years.....	-\$ 1,670	-\$ 300	\$ 0
<b>Total obligations.....</b>	<b>\$ 12,973</b>	<b>\$ 8,938</b>	<b>\$ 7,865</b>
<i>Net outlays</i>	\$ 7,283	\$ 14,972	\$ 9,650

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
25.1 Advisory and assistance services.....	\$ 588	\$ 0	\$ 0
25.2 Other services.....	86	0	0
25.3 Goods and services from Gov't accounts.....	2	0	0
25.4 Operation and maintenance of facilities.....	652	0	0
26.0 Supplies and materials.....	5	0	0
31.0 Equipment.....	21	0	0
32.0 Land and structures.....	11,619	8,938	7,865
<b>99.0 Total obligations.....</b>	<b>\$ 12,973</b>	<b>\$ 8,938</b>	<b>\$ 7,865</b>

## **FY 2018 Capital Improvements Plan**

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

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

### **Building Projects**

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

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

Most of the major building systems have reached the end of their service life. NARA incrementally replaced those building systems that were in the most urgent need of replacement and could not wait for the larger renovation. These projects have allowed NARA to reduce the costs of a larger renovation project but only to a limited degree, since the incremental projects are not as efficient, leave portions of each facility without renovations, and don't attract the number of potential bidders that a larger project would. In FY 2015, NARA completed a roof repair and replacement project, extending the life of the roof 10 years. In FY 2016, NARA replace some heating and mechanical systems for the Library and replaced the main entrance doors with power-assisted entry doors to address ADA compliance.

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

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

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

NARA replaced some of the original building systems in connection with a recent renovation of the museum space that was funded by the private Ronald Reagan Foundation. NARA replaced some of the HVAC equipment, but only in areas disturbed by the renovation of the museum. At the time of the HVAC replacement, NARA prepared a design plan to bring all of the HVAC systems into compliance with the current archival standards. That design is waiting on construction funding and exceeds what can be paid from base R&R funds. In 2015, a large roof replacement and security upgrade projects were completed.

*Harry S. Truman Library, Independence, MO, Building Renovation (Design & Construction).*—The Truman Library requires a complete renovation in order to bring the entire building into compliance with the current Architectural Design Standards for Presidential Libraries. In the late 1990s, NARA renovated a portion of the Truman Library. At that time, there were areas that were not included in the renovations and the current archival storage standards had not been developed. Since then, many small repairs have been made, based on BCR recommendations (mostly related to the fire protection and fire alarm systems and an elevator replacement project). NARA recently replaced a portion of the building security system. In FY 2015, NARA completed a two-year project to replace the facility's air handling units. The areas that have not been renovated still need a renovation, and the previously renovated area needs to be revisited to bring the facility into compliance with current archival storage standards.

*National Archives at College Park, MD, HVAC Renovations (Design & Construction).*— NARA has started replacing components of some of HVAC systems, but in many cases, the entire system has reached the end of its anticipated service life. Most major mechanical equipment has an anticipated service life of between 20 to 30 years of normal use: NARA HVAC systems have been required to maintain archival storage standards 24 x 7, 365 days per year for nearly 25 years. In FY 2016, NARA refurbished existing gas filtration units for air handling units.

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

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

*Jimmy Carter Library, Atlanta, GA, Building Renovation (Design & Construction).*—The Carter Library requires a complete replacement of building mechanical and electrical systems, and the BCR has identified several other repairs that require attention within the next five years. NARA replaced some building mechanical systems in connection with the Foundation-funded renovation of the museum exhibit (to take advantage of the fact that the museum space was temporarily closed). This project helped to bring some areas of the facility into compliance with current archival standards and improve energy efficiency. In FY 2016, NARA conducted extensive repairs to Library mechanical systems and duct work, but most electrical equipment still needs to be replaced.

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

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



renovations; however, additional repairs identified in the BCR have not been addressed and the remaining areas of the building still require renovation.

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

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

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

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

**Fiscal Year 2018 Budget Request**

**CONTENTS**

Appropriation Language .....	2
Analysis of Language Provisions and Changes.....	2
Program Description .....	2
Explanation of Changes .....	3
Summary of the Request.....	3
Amounts Available for Obligation.....	3
Obligations by Object Classification .....	4

### **Appropriation Language**

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

### **Analysis of Language Provisions and Changes**

NARA proposes to delete the bracketed language above. NARA is not requesting funds for the National Historical Publications and Records Commission (NHPRC) grants program in FY 2018.

### **Program Description**

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

**Explanation of Changes**  
(Dollars in Thousands)

	<u>Budget Authority</u>
FY 2017 Annualized Continuing Resolution level.....	\$ 4,988
FY 2018 Appropriation request.....	<u>0</u>
Net Change.....	-\$ 4,988

**Summary of the Request**

NARA requests no new funding in the FY 2018 budget for the National Historical Publications and Records Commission (NHPRC). Appropriations to the NHPRC Grants Program provide for grants only; an additional \$1,641 thousand in the NARA Operating Expenses appropriation provides for the salaries and expenses of administering the NHPRC grants program. This funding and the associated FTE will be needed in FY 2018 to administer grants awarded in previous years.

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
Unobligated balance carried forward.....	\$ 282	\$ 378	\$ 0
Recoveries of prior-year obligations.....	\$ 359	\$ 355	\$ 350
New discretionary authority:			
<b>No-year appropriation.....</b>	\$ 5,000	\$ 4,988	\$ 0
Unobligated balance, available in future years.....	-\$ 378	\$ 0	-\$ 350
<b>Total obligations.....</b>	<b>\$ 5,263</b>	<b>\$ 5,721</b>	<b>\$ 0</b>
<i>Net outlays</i>	\$ 5,483	\$ 6,722	\$ 4,893

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

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**Obligations by Object Classification**  
(Dollars in Thousands)

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	FY 2016 Actual	FY 2017 Annualized CR level	FY 2018 Request
41.0 Grants, subsidies, and contributions.....	\$ 5,263	\$ 5,721	\$ 0
<b>99.0 Total obligations.....</b>	<b>\$ 5,263</b>	<b>\$ 5,721</b>	<b>\$ 0</b>

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**National Archives and Records Administration**

**SPECIAL FUNDS**

**Fiscal Year 2018 Budget Request**

**CONTENTS**

Records Centers Revolving Fund.....	2
Authorizing Language .....	2
Program Description .....	2
Explanation of Changes .....	3
Income/Cost Comparison.....	4
Amounts Available for Obligation .....	4
Obligations by Object Classification .....	5
National Archives Gift Fund.....	6
Authorizing Language .....	6
Program Description .....	6
Explanation of Changes .....	7
Amounts Available for Obligation .....	7
Obligations by Object Classification .....	8
National Archives Trust Fund .....	9
Authorizing Language .....	9
Program Description .....	9
Explanation of Changes .....	10
Amounts Available for Obligation .....	10
Obligations by Object Classification .....	11

## **Records Centers Revolving Fund**

### **Authorizing Language**

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

### **Program Description**

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

**Explanation of Changes**  
(Dollars in Thousands)

	<u>FTE</u>	<u>Obligations</u>
FY 2017 Current.....	1,222.0	\$ 190,700
FY 2018 Budget.....	<u>1,201.0</u>	<u>193,600</u>
Net Change.....	-21.0	\$ 2,900

The FY 2018 budget includes an estimated \$193,600 thousand in obligations for the Records Centers Revolving Fund. This represents a net increase of \$2,900 thousand from FY 2017 estimated obligations. This full cost-recovery revolving fund provides for the operations of the NARA Federal Records Centers Program (FRCP). The FRCP stores over 28 million cubic feet of Federal government records on a temporary basis, on behalf of other Federal agencies. The FRCP is financed by payments from customer Federal agencies for services rendered.

The FRCP stores temporary records that must be retained for a period of years before disposal, as well as permanently valuable records 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 2016 Actual	FY 2017 Current	FY 2018 Request
Revenue.....	\$ 188,988	\$ 188,600	\$ 191,600
Expenses.....	182,612	188,300	191,100
<b>Net Operating Result.....</b>	<b>\$ 6,376</b>	<b>\$ 300</b>	<b>\$ 500</b>

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Current	FY 2018 Request
Unobligated balance carried forward.....	\$ 48,218	\$ 53,739	\$ 53,639
Recoveries of prior-year obligations.....	\$ 2,167	\$ 2,000	\$ 2,000
New discretionary authority:			
Collections from other Federal agencies.....	\$ 186,510	\$ 188,600	\$ 191,600
Change in unfilled customer orders.....	\$ 2,134	\$ 0	\$ 0
<b>New Discretionary authority.....</b>	<b>\$ 188,644</b>	<b>\$ 188,600</b>	<b>\$ 191,600</b>
Unobligated balance, available in future years.....	-\$ 53,739	-\$ 53,639	-\$ 53,639
<b>Total obligations.....</b>	<b>\$ 185,290</b>	<b>\$ 190,700</b>	<b>\$ 193,600</b>
<i>Net outlays</i>	<i>-\$ 5,081</i>	<i>\$ 0</i>	<i>\$ 0</i>

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Current	FY 2018 Request
11.1 Full-time, permanent.....	\$ 60,580	\$ 63,210	\$ 65,300
11.3 Other than full-time permanent.....	636	670	670
11.5 Other personnel compensation.....	3,623	3,600	3,710
11.8 Special personal services payments.....	55	60	60
12.1 Civilian personnel benefits.....	22,534	23,500	24,300
13.0 Benefits for former personnel.....	300	300	300
21.0 Travel and transportation of persons.....	489	500	500
22.0 Transportation of things.....	1,423	1,400	1,400
23.1 Rental payments to GSA.....	41,800	43,700	43,700
23.2 Rental payments to others.....	11,720	12,100	12,100
23.3 Communications, utilities, and misc. charges....	4,525	4,800	4,700
24.0 Printing and reproduction.....	50	50	50
25.1 Advisory and assistance services.....	4,392	4,450	4,450
25.2 Other services from non-Federal sources.....	3,273	2,700	2,700
25.3 Other goods & services from Federal sources...	12,129	11,600	11,600
25.4 Operation and maintenance of facilities.....	330	400	400
25.7 Operation and maintenance of equipment.....	10,041	10,900	10,900
26.0 Supplies and materials.....	1,354	1,160	1,160
31.0 Equipment.....	5,509	5,600	5,600
32.0 Land and structures.....	527	0	0
<b>99.0 Total obligations.....</b>	<b>\$ 185,290</b>	<b>\$ 190,700</b>	<b>\$ 193,600</b>
<i>Subtotal, PC&amp;B.....</i>	<i>87,728</i>	<i>91,340</i>	<i>94,340</i>
<i>Subtotal, non-labor.....</i>	<i>97,862</i>	<i>99,360</i>	<i>99,260</i>
Full-Time Equivalentents (FTE).....	1,240.0	1,222.0	1,201.0

## **National Archives Gift Fund**

### **Authorizing Language**

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

### **Program Description**

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

**Explanation of Changes**

(Dollars in Thousands)

	<u>Obligations</u>
FY 2017 Current.....	\$ 3,068
FY 2018 Budget.....	<u>3,476</u>
Net Change.....	\$ 408

The FY 2018 budget includes an estimated \$3,476 thousand in obligations for the National Archives Gift Fund, a net increase of \$408 thousand compared to FY 2017 estimated obligations of \$3,068 thousand. FY 2017 planned obligations include continuing renovations to exhibition space at the John F. Kennedy Presidential Library and Museum, as well as costs to

**Amounts Available for Obligation**

(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Current	FY 2018 Request
Unobligated balance carried forward.....	\$ 2,934	\$ 2,773	\$ 3,269
Recoveries of prior-year obligations.....	\$ 41	\$ 10	\$ 10
New mandatory authority:			
<b>Mandatory Appropriation.....</b>	<b>\$ 2,827</b>	<b>\$ 3,554</b>	<b>\$ 3,338</b>
Unexpired unobligated balance, end of year.....	-\$ 2,773	-\$ 3,269	-\$ 3,141
<b>Total obligations.....</b>	<b>\$ 3,029</b>	<b>\$ 3,068</b>	<b>\$ 3,476</b>
<i>Net outlays</i>	\$ 2,980	\$ 3,410	\$ 3,375

National Archives and Records Administration  
National Archives Gift Fund

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Current	FY 2018 Request
21.0 Travel and transportation of persons.....	\$ 37	\$ 80	\$ 74
22.0 Transportation of things.....	14	7	7
23.3 Communications, utilities, and misc. charges....	1	0	0
24.0 Printing and reproduction.....	24	33	22
25.2 Other services from non-Federal sources.....	1,092	1,315	1,750
25.3 Other goods & services from Federal sources...	171	150	144
26.0 Supplies and materials.....	81	88	84
31.0 Equipment.....	322	2	2
32.0 Land and structures.....	2	0	0
33.0 Investments.....	692	799	799
94.0 Financial Transfers.....	594	594	594
<b>99.0 Total obligations.....</b>	<b>\$ 3,030</b>	<b>\$ 3,068</b>	<b>\$ 3,476</b>

## **National Archives Trust Fund**

### **Authorizing Language**

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

### **Program Description**

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

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

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

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

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

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

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

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

**Explanation of Changes**  
(Dollars in Thousands)

	<u>FTE</u>	<u>Obligations</u>
FY 2017 Current.....	66.0	\$ 17,785
FY 2018 Budget.....	<u>66.0</u>	<u>17,257</u>
Net Change.....	0.0	-\$ 528

The FY 2018 budget includes an estimated \$17,257 thousand in obligations for the National Archives Trust Fund, a net decrease of -\$528 thousand from FY 2017 estimated obligations of \$17,785 thousand.

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Current	FY 2018 Request
Unobligated balance carried forward.....	\$ 12,510	\$ 5,828	\$ 6,255
Unobligated balance, precluded from obligation.....	\$ 81	\$ 165	\$ 234
Recoveries of prior-year obligations.....	\$ 1,329	\$ 550	\$ 550
New mandatory authority:			
Collections from Federal and Non-Federal sources	\$ 18,103	\$ 17,800	\$ 18,100
Change in unfilled customer orders	-\$ 154	\$ 0	\$ 0
Joint Committee Sequestration <sup>1</sup>	-\$ 84	-\$ 69	\$ 69
<b>New Discretionary authority.....</b>	<b>\$ 17,865</b>	<b>\$ 17,731</b>	<b>\$ 18,169</b>
Unexpired unobligated balance, end of year.....	-\$ 5,993	-\$ 6,489	-\$ 7,951
Unobligated balance, precluded from obligation.....	[ 165 ]	[ 234 ]	[ 303 ]
<b>Total obligations.....</b>	<b>\$ 25,792</b>	<b>\$ 17,785</b>	<b>\$ 17,257</b>
<i>Net outlays</i>	<i>\$ 6,381</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 8.4 percent in FY 2016, and an estimated 6.9 percent in FY 2017 and FY 2018.

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2016 Actual	FY 2017 Current	FY 2018 Request
11.1 Full-time, permanent.....	\$ 3,656	\$ 4,152	\$ 4,270
11.3 Other than full-time permanent.....	98	111	114
11.5 Other personnel compensation.....	138	157	161
12.1 Civilian personnel benefits.....	1,387	1,477	1,541
21.0 Travel and transportation of persons.....	214	361	351
22.0 Transportation of things.....	194	264	275
23.2 Rental payments to others.....	0	0	0
23.3 Communications, utilities, and misc. charges....	116	131	131
24.0 Printing and reproduction.....	588	497	432
25.1 Advisory and assistance services.....	42	40	34
25.2 Other services from non-Federal sources.....	2,861	2,754	2,330
25.3 Other goods & services from Federal sources...	1,827	1,438	1,304
25.4 Operation and maintenance of facilities.....	258	248	210
25.7 Operation and maintenance of equipment.....	212	204	173
26.0 Supplies and materials.....	1,722	1,284	1,226
31.0 Equipment.....	187	139	133
32.0 Land and structures.....	1,310	977	932
33.0 Investments.....	10,983	3,551	3,640
<b>99.0 Total obligations.....</b>	<b>\$ 25,793</b>	<b>\$ 17,785</b>	<b>\$ 17,257</b>
<i>Subtotal, PC&amp;B.....</i>	5,279	5,897	6,086
<i>Subtotal, non-labor.....</i>	20,514	11,888	11,171
	72.0	66.0	66.0



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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 2017	FY 2018
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.	\$ 6,200 service fee	\$ 6,756 service fee
		\$ 3,800 service fee Revolving Fund	\$ 4,141 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.	\$ 11,068 service fee	\$ 13,000 service fee
		\$ 10,216 service fee Revolving Fund	\$ 12,000 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 2017	FY 2018
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.	\$ 63,879 service fee	\$ 63,879 service fee
		\$ 37,516 service fee Revolving Fund	\$ 37,516 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.	\$ 37,443 agency contribution	\$ 37,005 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, 2016). 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 2018 budget request addresses each challenge. The descriptions of OIG Management Challenges are summaries prepared by Management and are not represented as independent or objective descriptions. The original descriptions prepared by the NARA OIG can be found in the most recent OIG Semiannual Report to Congress, located at link: <https://www.archives.gov/files/oig/reports/semiannual-congress-9-2016.pdf>.

Management Challenge	NARA Actions
<p><b>1. Electronic Records Archives (ERA):</b> 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. The program has been fraught with delays, cost overruns, and technical shortcomings and deficiencies. As a result, many core requirements were not fully addressed, and ERA has had problems with reliability, scalability, usability, and cost.</p>	<p>The FY 2018 budget for NARA <u>Operating Expenses</u> continues funding (within the base) for the development of ERA 2.0. ERA 2.0 will migrate electronic records storage from proprietary servers to cloud storage services and will improve workflow and tools for transferring new electronic records into ERA, addressing key findings of the OIG.</p> <p>Significantly, ERA 2.0 will include functionality originally envisioned for ERA 1.0 (but not included in the deployed system). Once new tools are deployed in ERA 2.0, NARA will retire legacy systems, effectively resolving long-standing OIG concerns and addressing “funds put to better use” concerns raised in previous OIG audits of ERA.</p>

Management Challenge	NARA Actions
<p><b>2. Improving Records Management:</b>            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-12-18, <i>Managing Government Records Directive</i>, established aggressive goals for Federal Executive agencies to transition to fully-electronic recordkeeping. 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 2018 budget for NARA <u>Operating Expenses</u> includes funding to address NARA's explicit commitments in the <i>Managing Government Records Directive</i> (M-12-18) and provide agencies with guidance necessary to fulfill their requirements. OMB issued M-12-18 specifically to address many of the same concerns that are raised by NARA's OIG.</p> <p>Since M-12-18 was issued, NARA has issued new guidance on metadata standards for electronic records, as well as records management guidance for managing email, texts, and social media. In 2016, NARA issued "success criteria" for email management, to provide guidance to agencies on the standards necessary to meet the M-12-18 email management goals. NARA is currently preparing success criteria for the M-12-18 electronic records management goal.</p> <p>The FY 2016 Consolidated Appropriations Act (P.L. 114-113) provided new funding to establish a dedicated team within NARA to conduct inspections of other Federal agencies record-keeping practices, and to conduct system audits of agency electronic recordkeeping systems, including email. NARA's FY 2018 budget for <u>Operating Expenses</u> would continue NARA oversight over Federal records in the custody of other Federal agencies, assure the appropriate retention of those records, and mitigate risks identified during inspections and audits.</p>

Management Challenge	NARA Actions
<p><b>3. Information Technology Security:</b> Annual assessments of NARA’s compliance with the Federal Information Security Management Act have consistently identified program areas in need of significant improvement. New risks and challenges to NARA IT security are identified each year. Many of these deficiencies stem from the lack of strategic planning with regard to the redundancy, resiliency, and overall design of NARA’s network. While initiatives have been introduced to improve NARA’s information security program, real progress will not be made until the agency establishes an effective system of internal control for IT security.</p>	<p>The FY 2018 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. NARA continues to work towards full implementation of HSPD-12 controls over logical access to NARA IT systems and data, and to integrate separate control systems for physical and logical access. NARA Management believes these actions directly address key findings and recommendations of the OIG.</p> <p>NARA Management has identified IT security as a FMFIA material weakness and continues to dedicate funding in <u>Operating Expenses</u> to address five control deficiencies that pose a potential risk to IT Security, in the following areas: (1) Authority to Operate (ATO); (2) Desktop Baseline Configuration; (3) Server Baseline Configuration; (4) Patch Management, and; (5) Information Security Continuous Monitoring (ISCM). Management selected these vulnerabilities – and identified the actions necessary to address them – based on the annual FISMA assessment and audit findings from the OIG and GAO.</p>

Management Challenge	NARA Actions
<p><b>4. Expanding Public Access to Records:</b>                      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 30 percent of NARA's textual holdings have not been processed to allow efficient and effective public access to them. To meet its mission, NARA must work to ensure it has the processes and resources necessary to establish intellectual control over this backlog of unprocessed records.</p>	<p>NARA will continue to digitize records within the FY 2018 request for <u>Operating Expenses</u> and through no-cost arrangements with private sector partners. The <u>Operating Expenses</u> request also includes funding for the operations and continued development of the National Archives Catalog (NAC), NARA's system for providing online public access to digitized and born-digital records, and expansion of NARA's new enterprise cloud computing contract.</p> <p>NARA continues to dedicate funding in the FY 2018 request for <u>Operating Expenses</u> to ensure that traditional records are processed to an appropriate level and that newly-accessioned records are processed in a timely manner. Since FY 2007, NARA has increased the percentage of traditional holdings processed from less than 30% to 74% of total traditional holdings at the end of FY 2016. This progress was made despite a 33% increase in holdings over the period. NARA has addressed OIG audit recommendations by: establishing a common definition of necessary processing steps; developing performance measures; and establishing controls to reasonably ensure that NARA locations are uniformly applying the standards.</p>

Management Challenge	NARA Actions
<p><b>5. Meeting Storage Needs of Growing Quantities of Records:</b> 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.</p> <p>NARA is also challenged in meeting its requirements for electronic data storage to provide appropriate storage for electronic records.</p>	<p>The FY 2018 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 2016 Consolidated Appropriations Act provided funding to improve and acquire new leased space for storage of Congressional records. This new space will provide some relief for NARA's space needs, but is not enough to fully address NARA's storage requirements.</p> <p>The FY 2018 <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.</p>
<p><b>6. Preservation Needs of Records:</b> 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 2018 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>Funds dedicated to preservation in the FY 2018 budget for <u>Operating Expenses</u> will be allocated to NARA's highest and most urgent preservation needs, based on the preservation strategy and the results of annual assessments of the condition of NARA holdings.</p>



Management Challenge	NARA Actions
<p><b>7. Improving Project and Contract Management:</b> NARA is challenged with planning projects, developing adequately defined requirements, analyzing and testing to support acquisition and deployment of the systems, and providing oversight to ensure effective or efficient results within costs. NARA IT projects must be better managed and tracked to ensure budget, scheduling, and performance goals are met. NARA has been inconsistent in its use of key project management disciplines, including earned value management (EVM), which has negatively impacted key IT projects, including HSPD-12 implementation. NARA is also challenged to continue strengthening of its acquisition workforce and improving oversight of contractors.</p>	<p>The FY 2018 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><b>8. Physical and Holdings Security:</b> NARA must maintain adequate levels of physical security to ensure the safety and integrity of persons and holdings within NARA facilities. NARA's implementation of the Holdings Protection Team and stricter access controls within the past five years has increased NARA's security posture. However, these functions require greater oversight and accountability.</p>	<p>The FY 2018 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 2018 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. In FY 2017, the Holdings Protection Team was realigned to report directly to the Chief Operating Officer, elevating the status and influence of this mission-critical function.</p>

*National Archives and Records Administration  
Actions to Address Top Management Challenges*

Management Challenge	NARA Actions
<p><b>9. Human Resources Management:</b> NARA has not developed a comprehensive and cohesive approach to human capital management. Adequate policies and procedures have not been developed, updated, and communicated which makes it difficult to manage human capital efficiently and effectively. NARA also lacks an authoritative source of human capital data on all types of worker (Federal employees, contractors, and volunteers).</p>	<p>The FY 2018 budgets for <u>Operating Expenses</u> and the <u>Records Centers Revolving Fund</u> include funding for NARA human capital functions and systems, including on-going efforts to improve human capital policies and processes, training and employee development, and management and supervision by NARA supervisors. NARA continues to work with its human resources shared services provider to improve the accuracy and reliability of NARA human capital data.</p>
<p><b>10. Management of Internal Controls:</b> NARA has not established an Enterprise Risk Management system and its internal controls program is not fully-effective. NARA is vulnerable to risks that it has not foreseen or mitigated, and does not have the capability to self-identify and appropriately manage or mitigate significant deficiencies.</p>	<p>The FY 2018 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. In FY 2017, NARA will develop the internal controls program into the Enterprise Risk Management system required by OMB Circular A-123.</p>

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**National Archives and Records Administration**

**FY 2018 ANNUAL PERFORMANCE PLAN and  
FY 2016 ANNUAL PERFORMANCE REPORT**

**Fiscal Year 2018 Budget Request**

**CONTENTS**

NARA Mission, Vision, and Goals .....	2
Performance by Strategic Goal.....	3
Make Access Happen .....	3
Connect with Customers .....	6
Maximize NARA's Value to the Nation .....	9
Build our Future through our People .....	11
Performance Highlights .....	14
Federal Records Management Programs.....	15

## **NARA Mission, Vision, and Goals**

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

### *VISION:*

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

### *MISSION:*

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

### *STRATEGIC GOALS:*

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

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

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

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

The *President's Budget* identifies 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**

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

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

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

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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Percent of artifacts described in the National Archives Catalog	<i>Target</i>	85	95	90	95	95	95
	<i>Actual</i>	95	95	97	96		
Percent of electronic archival holdings described in the National Archives Catalog	<i>Target</i>	85	85	90	90	90	90
	<i>Actual</i>	93	96	97	100		
Percent of traditional archival holdings described in the National Archives Catalog	<i>Target</i>	85	85	90	95	95	95
	<i>Actual</i>	83	86	90	97		

*Performance summary:* NARA met the FY 2016 description goal of 95 percent described in the National Archives Catalog for all categories: traditional records, electronic records, and artifacts. NARA exceeded the goal for all three categories. The goal going forward is to maintain that rate of 95 percent described each year.

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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Percent of archival holdings processed	<i>Target</i>	65	67	70	>72	>72	>72
	<i>Actual</i>	65	68	72	74		

*Performance summary:* NARA exceeded its processing goal in FY 2016, finishing the year with 74 percent of the archival records processed up from 72 percent in FY 2015. NARA processed nearly 254,112 cubic feet of records, and ended the year with slightly less than 1.2 million cubic feet of unprocessed records. Because of the continuing growth of the holdings from accessioning records, these accomplishments still left a large volume of records not yet fully processed. Although staff are focused on description, we continue to make steady progress to process records and reduce the backlog. NARA will continue to focus management attention on processing and seek ways to improve agency processes to expedite the release of archival records to the public.

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

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

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

available online through the NAC, as a percentage of total cubic feet of traditional archival holdings.

<b>Performance Measure</b>	<b>Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Percent of traditional holdings digitized and made available online	<i>Target</i>	—	—	—	Baseline	Increase	Increase
	<i>Actual</i>	—	—	—	0.06		

*Summary of performance:* By the end of FY 2016, over 18.2 million digitized records were available in the National Archives Catalog. More than 10.9 million of those records were added in FY 2016 alone. To reach this scale, NARA developed new tools for internal work processes to increase the efficiency of transforming metadata received from partners. NARA is currently enhancing the Catalog to increase the rate at which digitized images can be processed and ingested for availability to the public. These developments will be realized in FY 2017 and FY 2018.

Throughout FY 2017 and FY 2018, NARA will continue to work closely with commercial digitization partners to complete large scale digitization projects.



## Connect with Customers

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

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

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

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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Percent of DD-214 / separation requests answered w/in 10 work days	<i>Target</i>	—	95	95	90	90	90
	<i>Actual</i>	95	94	93	92		
Percent of Federal agency reference requests ready within the promised time	<i>Target</i>	95	95	95	95	95	95
	<i>Actual</i>	95	92	97	96		
Percent of customers satisfied with military records received from NPRC	<i>Target</i>	90	87	88	88	88	88
	<i>Actual</i>	86	86	80	85		
Percent of FOIA requests for Federal records answered within 20 work days	<i>Target</i>	90	85	85	>78	>78	>78
	<i>Actual</i>	83	77	78	94		
Percent of archival written requests answered within 10 work days (all NARA)	<i>Target</i>	—	—	80	80	80	80
	<i>Actual</i>	79	76	77	73		

*National Archives and Records Administration  
FY 2018 Annual Performance Plan and FY 2016 Annual Performance Report*

<b>Performance Measure</b>	<b>Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Percent of non-archival written requests answered w/in 10 work days (all NARA)	<i>Target</i>	—	—	65	65	65	65
	<i>Actual</i>	67	65	58	61		
Percent of items furnished within agreed upon delivery time	<i>Target</i>	95	—	—	95	95	95
	<i>Actual</i>	98	97	96	97		

*Performance Summary:* NARA exceeded its timeliness goal for responding to military separation requests. The National Personnel Records Center (NPRC) receives approximately 2,000 requests for military separation records each day, and responded to 92 percent of those requests in ten workdays or less.

Despite a significant increase in volume, NARA also exceeded its target to answer Freedom of Information Act (FOIA) requests for Federal records in 20 working days or less. NARA responds to FOIA requests for its own operational records as well as requests for access to NARA's holdings. NARA received approximately 50,000 FOIA requests during FY 2016, which is more than double its FY 2014 and FY 2015 volumes. A significant portion of the increase is attributable to FOIA requests from private sector companies seeking verification of military service to pursue Work Opportunity Tax Credits. NARA will continue to monitor performance to maintain the current level of service.

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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Number of public program attendees, excluding education	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	470K	309K	386K	241K		
Number of education program attendees	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	324K	299K	549K	398K		
Number of researcher visits	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	114K	104K	86K	98K		
Number of visits to NARA websites	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	50M	57M	61M	86M		
Number of physical visits to museums and exhibitions	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	3.1M	3.3M	3.5M	3.65M		

*Performance summary:* NARA is committed to increased customer engagement. The National Archives catalog creates opportunities for the public to participate and directly engage with our records by contributing tags to records and assisting in transcribing digital images.

In FY 2016, NARA’s Presidential Libraries, Center for Legislative Archives, Museum and Education and Public Programs welcomed large numbers of visitors, participants, and attendees across public outreach program areas. NARA offered nearly 6,000 education programs that reached over 94,000 professional educators, 1,428 public programs, 171 exhibits, and 14 traveling exhibits.

Throughout FY 2017 and FY 2018, NARA will continue to deliver programs across the agency driven by common civic literacy and engagement goals. NARA will continue to monitor participation levels in agency public and education programs—both physical and online—to ensure that efforts to engage the public are realized.

**Maximize NARA’s Value to the Nation**

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

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

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

**Performance Goal #1: By 2019, Federal agencies will manage all permanent electronic records in an electronic format**

*Description of measure:* OMB/NARA Memorandum M-12-18 requires agencies to manage all permanent electronic records electronically by December 31, 2019. NARA is developing criteria for agencies to successfully manage permanent electronic records.

NARA currently measures risk to records management programs based on an evaluation of agency responses to the annual Records Management Self-Assessment (RMSA) survey. NARA also measures risk to email management based on criteria developed for M-12-18 for managing temporary and permanent email in electronic format.

<b>Performance Measure</b>	<b>Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Percent of agencies with “low-risk” RMSA ratings	<i>Target</i>	—	>20	>29	>34	>34	>34
	<i>Actual</i>	20	29	34	36		
Percent of agencies with “low-risk” Email Management ratings	<i>Target</i>	—	—	—	Baseline	Increase	Increase
	<i>Actual</i>						

*Performance summary:* NARA has invested considerable effort towards meeting the M-12-18 goal to stimulate investigation of applied research in automated technologies to reduce the burden of records management responsibilities.

NARA will work with agencies and the vendor community to develop universal requirements for commercial or agency-supplied electronic records management services as well as use case studies for various types of electronic records.

The percent of Federal agencies with records management programs rated as “low risk” continues to increase. NARA determines this rating based on the RMSA survey completed by agencies each year. NARA uses the survey results to identify agency records management programs that are low, medium, or high risk and understand what areas of government-wide records management need to be strengthened. NARA also created criteria for successful email management and implemented a maturity model survey as a supplement to the RMSA to specifically measure agency management of email in electronic format.

The level of maturity indicates a low, medium, or high risk for agencies to successfully manage email. As agencies continue to implement the requirements of M-12-18, NARA expects to see an increase in the percent of agencies whose records management and email management programs are at low risk.

In FY 2017, NARA’s Records Management Line of Business (RM LOB) project office will work with agencies and the vendor community to develop minimum requirements for commercial or agency-supplied electronic records management services to move this effort toward implementation in FY 2018.

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

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

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

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

*Performance summary:* NARA’s primary initiative under this goal is to provide direct access to records in machine readable forms to allow efficient use of NARA data. In FY 2015, NARA launched an API for the National Archives Catalog which extends online, archival content to commercial platforms and organizations, increasing access to NARA holdings. In FY 2017, NARA will continue to transform archival records series to open, digital formats and make them available for download through the National Archives Catalog.

**Build our Future through our People**

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

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

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

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

*Description of measure:* NARA strives to foster an employee development culture to promote learning and leadership by all. NARA measures performance as the total number of managers and supervisors participating in leadership training programs as a percentage of the total number of NARA managers and supervisors. NARA measures participants’ level of satisfaction through course surveys.

<b>Performance Measure</b>	<b>Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Increase the percent of managers and supervisors participating in internal leadership development and training programs	<i>Target</i>	—	—	—	Baseline	70	75
	<i>Actual</i>	—	—	78	84		
Increase the percent of Learning and Development events receiving satisfactory course survey responses	<i>Target</i>	—	—	90	90	90	90
	<i>Actual</i>	—	—	97	96		

*Performance summary:* NARA’s goal of creating and sustaining a culture of empowerment, openness, and inclusion requires a strategic learning and development program focusing on leadership development, functional expertise, and career growth for all employees. One of the key elements impacting culture change in any organization is a structured professional development program that ensures professional expertise, supports career growth, and empowers the workforce.

In early FY 2017, NARA deployed a new Learning Management System to deliver, track, and report on training and development activities, including leadership, manager and supervisor, occupational, and core professional development programs and activities.

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

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

<i>Performance Measure</i>	<i>Year</i>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
NARA’s EVS score on questions related to internal communications	<i>Target</i>	—	>49	>50	>50	>50	>50
	<i>Actual</i>	46	46	49	56		
Percent of positive responses to Internal Customer Satisfaction Survey questions about communications.	<i>Target</i>	—	—	—	Baseline	TBD	TBD
	<i>Actual</i>	61	64	69	<b>56*</b>		

\* In 2016, NARA added a “neutral” response option on this survey. Approximately 25% of 2016 respondents chose the neutral option as their response.

*Performance summary:* NARA will cultivate a robust, well-connected internal communications environment to support informed action at all levels. This goal focuses management attention on employee engagement and information sharing. In FY 2016, NARA expanded its digital signage project to more effectively communicate a consistent message across the agency. Digital signs now share content with staff in most NARA locations.

NARA also provided policy, guidance, and training to reinforce the role of the supervisor as the first line of communication for employees. These resources were provided through dedicated communications channels for supervisors as well as through training opportunities that were offered to managers and supervisors exclusively and an updated Supervisor’s Handbook.

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

Our ability to recruit, sustain, and retain a 21st-century workforce is essential to achieving mission success both now and in the future. NARA is implementing innovative practices to ensure the workforce has the skills and competencies to fulfill the mission; managers and supervisors have the tools they need to effectively manage the workforce; and employees have a work environment where they can be productive and excel.

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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Percent of NARA positions filled within 80 days	<i>Target</i>	—	—	50	45	Increase	Increase
	<i>Actual</i>	—	42	45	53		
Improve NARA’s average score in FEVS questions related to diversity and inclusion (new IQ)	<i>Target</i>	—	—	—	>54	>54	>54
	<i>Actual</i>	47	48	53	58		

*Performance summary:* In FY 2016, NARA exceeded its annual goal for hiring process cycle time. Fifty-three percent of NARA hiring actions were completed within OPM’s target of 80 days. During the year, NARA addressed known issues in the hiring process and began holding strategic hiring discussions between staffing personnel and hiring managers.

NARA also took coordinated actions in FY 2016 to resolve engagement, innovation, and empowerment gaps at all levels of the organization, strengthen the employee performance management program, and promote agency wellness and work-life programs. NARA’s 2016 EVS results showed progress overall and, in particular, in the questions related to diversity and inclusion. NARA’s Employment Engagement Index score rose by 4 percentage points, from 63 percent to 67 percent.



## Performance Highlights

The following table displays key measures and FY 2016 results by NARA organization.

	Researcher Visits	Written Requests	Public Program Attendees	Exhibit / Museum Visitors	Online Visits (millions)
National Archives at Atlanta, GA	2,827	2,533	1,850	243	--
National Archives at Boston, MA	3,782	1,816	--	0	--
National Archives at Chicago, IL	1,259	2,189	--	0	--
National Archives at College Park, MD	34,977	12,110	2,073	46	--
National Archives at Denver, CO	1,845	1,000	--	--	--
National Archives at Fort Worth, TX	1,745	1,975	9,977	0	--
National Archives at Kansas City, MO	2,278	3,229	1,896	315	--
National Archives at New York, NY	4,729	2,869	6,311	287,420	--
National Archives at Philadelphia, PA	718	1,082	1,727	125	--
National Archives at Riverside, CA	1,096	1,362	--	--	--
National Archives at St. Louis, MO	4,620	107,867	--	--	--
National Archives at San Francisco, CA	1,432	1,637	--	--	--
National Archives at Seattle, WA	1,539	975	962	310	--
National Archives in Washington, DC	12,730	8,399	15,015	1,242,474	--
National Personnel Records Center	--	1,051,585	--	--	--
Federal Register	--	1,551	--	--	330.7*
Legislative Archives	--	1,092	728	--	--
Nationwide Records Mgmt Training	--	--	5,685	--	--
<b>Subtotal</b>	<b>62,847</b>	<b>1,203,271</b>	<b>46,224</b>	<b>1,530,934</b>	<b>330.7</b>
<i>Presidential Libraries</i>					
Herbert Hoover Presidential Library	379	860	17,862	37,374	0.5
Franklin D. Roosevelt Presidential Library	1,024	1,868	41,447	192,783	0.9
Harry S. Truman Presidential Library	679	2,528	35,308	73,478	1.4
Dwight D. Eisenhower Presidential Library	1,389	3,169	33,766	169,740	0.4
John F. Kennedy Presidential Library	1,182	5,676	30,273	218,694	40.0
Lyndon Johnson Presidential Library	1,534	1,977	27,389	154,238	2.1
Richard Nixon Presidential Library	1,152	1,488	4,295	44,018	0.2
Gerald Ford Presidential Library	637	514	10,465	237,893	0.7
Jimmy Carter Presidential Library	699	492	7,392	71,488	0.9
Ronald Reagan Presidential Library	812	544	73,517	432,308	0.8
George Bush Presidential Library	434	1,823	225,720	149,489	0.2
William J. Clinton Presidential Library	202	1,374	77,235	91,155	0.5
George W. Bush Presidential Library	154	206	7,182	210,989	1.6
<i>Subtotal, Presidential Libraries</i>	<b>10,277</b>	<b>22,519</b>	<b>591,851</b>	<b>2,083,647</b>	<b>50.2</b>
<b>Archives.gov</b>	--	--	--	--	<b>30.8</b>
<b>Our Documents.gov</b>	--	--	--	--	<b>3.0</b>
<b>GRAND TOTAL</b>	<b>73,124</b>	<b>1,225,790</b>	<b>638,075</b>	<b>3,614,581</b>	<b>84.0</b>

\*Documents retrieved from federalregister.gov website.

## **Federal Records Management Programs**

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

### **Managing Government Records Directive / Policy and Guidance**

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

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

Other selected milestones that NARA reached in records management in FY 2016 include:

- *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (April 2016)*. This guidance provides agencies with clear guidance and establishes standards to assess agency progress and status against requirements for agencies to manage their email records.
- *Electronic Messages White Paper (August 2016)*. This white paper represents NARA's findings on emerging records management practices for capturing and preserving electronic messages.
- *New and Revised Guidance in Support of the Presidential Transition (February and May 2016)*. This guidance for use during the Presidential transition included a refresh of NARA's *Documenting Your Public Service* publication and new entrance and exit checklists for senior officials.
- *Updates to OMB Circular A-130, Managing Federal Information as a Strategic Resource (July 2016)*. OMB Circular A-130 updates government-wide policy governing records management, information governance, open data, cybersecurity, and privacy. NARA supported the latest release with subject matter expertise, content, and ensured the revisions align with NARA regulations and the *Managing Government Records Directive*.

## Records Scheduling and Appraisal

- *Capstone Approach.* In FY 2016, NARA continued reviewing disposition requests for email managed under a 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. This GRS allows agencies to manage email records at the account.
- *Other General Records Schedules.* NARA issued GRS Transmittal 26, which included one new GRS, and updates to four existing GRS. The transmittal also included general FAQs, schedule specific FAQs, and an implementation guide. NARA's General Records Schedules Team continues to make progress on its comprehensive plan to overhaul the GRS by December 2017 as required in the Managing Government Records Directive.
- *Records Scheduling Backlog Project.* NARA continued to put a priority on reducing record schedules that have been submitted more than two years prior ("backlog schedules"). The number of "backlog schedules" has been reduced over the past few years, with the current backlog numbers down to less than 36 at the start of the fiscal year. NARA will be managing the timeliness of approving records schedules as part of the regular work process, while continuing to focus on older schedules.

## Records Management Oversight

### Records Management Oversight and Reporting

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

In early FY 2016, NARA issued the RMSA to 260 Federal agencies to report on records management activities occurring or completed in FY 2015. For the first time since NARA began the RMSA in 2009, 100 percent of agencies submitted their RMSA reports. The resulting RMSA 2015 summary report, released on July 12, 2016, identified gradual improvement in RMSA scores across Federal agencies, which reflects an increasing understanding within agencies of the importance of recordkeeping requirements. NARA RMSA reports are available at <https://www.archives.gov/records-mgmt/resources/self-assessment.html>.

- *Senior Agency Official for Records Management Reports.* *The Managing Government Records Directive (M-12-18)* requires federal agencies to appoint a Senior Agency Official for Records Management (SAORM). As part of their responsibilities, these officials provide

strategic direction and resources to ensure the success of all aspects of their agency's records management program. SAORMs submit an annual report to NARA based on a provided template. In FY 2016, 103 report templates were emailed to SAORMs with NARA receiving 92 individual reports for an 89 percent response rate. Individual reports are available at <https://www.archives.gov/records-mgmt/agency/sao-reporting-2015.html>

- *Records Management Inspections.* NARA inspects the records management programs of Federal agencies under the authority of 44 U.S.C. 2904(c) (7) and 2906. In FY 2016, NARA completed inspections of the Department of the Navy electronic records management systems, the Departments of Veterans Affairs, Homeland Security, and the Interior. Highlights and summaries are provided below. NARA also started a fourth inspection in FY 2016 of the Department of Commerce to be completed in FY 2017. NARA's complete inspection reports for these and previous inspections are available at: <http://www.archives.gov/records-mgmt/resources/inspections.html>.
  - Department of the Navy (DON) Enterprise-wide Electronic Records Management Systems – The Navy was an early adopter of DOD 5015.2 compliant electronic records management system and maintains one of the largest in the Federal Government. NARA conducted this inspection to assess whether the Navy's decade-long adoption of a large scale, enterprise-wide electronic records management system has enabled more compliant management of electronic records throughout the organization.
  - Department Records Management Program Series – NARA continues a series of inspections of Departmental records management programs focused on how well they operate and incorporate records management coordination into organizational business lines and culture. In this series, NARA examines how the Departmental programs work with their component agencies. In FY 2015, NARA completed inspections of the Departments of Treasury and Energy. In FY 2016, NARA completed the following three Departments. The series is continuing in FY 2017 and should be completed in FY 2018. The FY 2016 series of inspections included:
    - Department of Veterans Affairs –NARA examined how the VA Department-level records management program communicates and cooperates with the programs of the VA Administrations, Central Office, and Offices of the Assistant Secretaries.
    - Department of Homeland Security –NARA examined how the DHS Department-level records management program communicates and cooperates with the programs of the operational agencies and support components within the Department.
    - Department of the Interior –NARA examined how the DOI Departmental-level records management program communicates and cooperates with the programs of the bureaus, offices, and component agencies within the Department.

- *Monitoring and Follow-up.* As part of the inspection process, NARA works with agencies to prepare corrective action plans with measurable milestones. NARA monitors progress via agency submitted progress reports until all actions are completed. NARA is currently monitoring 11 corrective action plans, of which 122 items are currently open. NARA has closed 55 items.

## **Records Management Training**

In FY 2016, NARA conducted 287 courses, including 60 online sessions, and trained over 6,200 individuals in records management policy and practices. This represents approximately a 25% increase in courses offered and personnel trained from FY 2015. NARA's Records Management Training (RMT) program awarded 617 *Certificates in Federal Records Management Training*.

Work continued to modernize the training program including designing a three-tiered curriculum to improve how RMT meets the learning needs of Records Custodians, Records Liaisons, and Agency Records Officers.

RMT continued efforts to make more training available online. We piloted a new online *Sustainable Formats and Permanent Electronic Records Course* in March 2016 and implemented this course as part of the FY 2017 training schedule. An eLearning course was produced for the Consumer Financial Protection Bureau and RMT started work on an eLearning course for the Defense Media Activity. RMT also provided support for the *2016 Documenting Your Public Service (Web Edition)* update including producing a short training video for new political appointees and senior officials.

**Alleged Unauthorized Disposition of Federal Records**

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

The 23 open cases at the end of FY 2016 are listed in Table 1, below. Table 2 lists the 53 cases that were closed in FY 2016.

**Table 1: Open cases pending agency action or NARA review**

<b>Department or Agency</b>	<b>Opened</b>	<b>Records</b>	<b>Status</b>
Agency for International Development	Jul 2015	Electronic records of Haiti Mission	Pending NARA review
	Jul 2016	Office of Inspector General records	Pending agency response or follow-up
Air Force	May 2016	DD-214's and Special Orders	Pending agency response or follow-up
Central Intelligence Agency	Dec 2007	Videotapes of al-Qaeda interrogations	Pending NARA review
Commerce, Patent and Trademark Office	Feb 2016	Patent application files	Pending agency response or follow-up
Defense, DoD Inspector General	Jun 2015	Records relating to investigation of whistleblower	Pending NARA review
Defense, National Geospatial-Intelligence Agency	May 2015	Executive Office records	Pending agency response or follow-up
Defense, National Guard Bureau	Aug 2016	Kentucky Air National Guard Bureau records	Pending agency response or follow-up
Defense, Office of the Secretary of Defense	Nov 2009	Email and electronic records of Coalition Provisional Authority, Iraq	Pending agency response or follow-up
	Dec 2015	Email of Secretary Ashton Carter	Pending agency response or follow-up
Energy	Dec 2010	Oil shale research records	Pending agency response or follow-up
Health and Human Services, Centers for Medicare and Medicaid Services	Jun 2016	Use of non-government email for official business	Pending agency response or follow-up

National Archives and Records Administration  
 FY 2018 Annual Performance Plan and FY 2016 Annual Performance Report

Department or Agency	Opened	Records	Status
Homeland Security, Federal Emergency Management Agency	Oct 2012	Emails relating to grant funds	Pending agency response or follow-up
Interior	Jun 2015	Loss of email due to software deficiency	Pending agency response or follow-up
Justice, Federal Bureau of Investigation	Feb 2014	Unspecified case files	Pending agency response or follow-up
National Credit Union Administration	Nov 2015	Email records	Pending agency response or follow-up
Navy	Jul 2013	Ship plans and blueprints	Pending agency response or follow-up
	Oct 2014	Purchase of automatic rifle silencers	Ongoing investigation and litigation
Navy, U.S. Marine Corps	Aug 2016	16,000 reels of 16mm and 35mm films	Pending agency response or follow-up
State	Mar 2015	Emails of Secretary Hillary Clinton	Pending agency response or follow-up
	Sep 2015	Records at embassy in Tokyo, Japan	Pending agency response or follow-up
	Jul 2016	Email records of former State Department employee Bryan Pagliano	Pending agency response or follow-up
	Aug 2016	Emails, Secretary's calendars, emergency destruction of embassy records	Pending agency response or follow-up

**Table 2: Cases closed in FY 2016**

Department or Agency	Opened	Records	Resolution
Agency for International Development	May 2015	Emails at ca. 20 overseas missions	Allegation not founded
Agriculture, U.S. Forest Service	Aug 2015	Wilderness maps	Allegation founded - corrective action taken
Air Force	Jun 2016	Records in the Automated Case Tracking System (ACTS) database	Allegation founded - corrective action taken

*National Archives and Records Administration  
FY 2018 Annual Performance Plan and FY 2016 Annual Performance Report*

<b>Department or Agency</b>	<b>Opened</b>	<b>Records</b>	<b>Resolution</b>
Army, Office of the Deputy Chief of Staff for Operations and Plans	Aug 1998	Records of action officers	Allegation founded - corrective action taken
Commerce	Jun 1996	Secretary Ron Brown's Office Records	Allegation not founded
	Jun 1996	Campaign finance records of the Clinton Administration	Allegation not founded
	Jun 1996	Records related to trade contracts and trade missions abroad	Allegation not founded
Consumer Product Safety Commission	Jun 2015	Employee text messages	Allegation founded - corrective action taken
Defense, Defense Information Systems Agency	Feb 2016	Email from government owned laptop	Allegation not founded
Defense, Joint Staff	Dec 2011	Emails of Lt. General Stanley McChrystal	Allegation founded - corrective action taken
	Sep 2015	NORTHCOM email	Allegation founded - corrective action taken
Defense, Office of the Secretary of Defense	Dec 2008	Documents relating to the torture issue and interrogation program	Allegation not founded
Energy	Apr 2011	Records related to Yucca Mountain site	Allegation founded - corrective action taken
	Sep 2012	Use of personal email for official business	Allegation founded - corrective action taken
Energy, National Nuclear Security Administration	Aug 2014	Los Alamos National Laboratory records	Allegation founded - corrective action taken
Environmental Protection Agency	Aug 2015	Email in personal account of former employee	Allegation not founded
	Sep 2016	Email messages of an employee of the National Enforcement Investigations Center	Allegation founded - corrective action taken



National Archives and Records Administration  
 FY 2018 Annual Performance Plan and FY 2016 Annual Performance Report

Department or Agency	Opened	Records	Resolution
General Services Administration	Sep 2015	Email and voicemail related to Army Childcare Subsidy Program	Allegation founded - corrective action taken
Health and Human Services, Centers for Medicare and Medicaid Services	Mar 2016	Interchange of Research Experts Files; International Participation Files; Legislative Records; State Compliance Hearings; State Grant Dockets; State Grant Ledgers and Cash Tables; and State Statistical Reports	Allegation not founded
Homeland Security	Apr 2011	Water-damaged records of Office of Intelligence and Analysis	Allegation founded - corrective action taken
Homeland Security, Federal Emergency Management Agency	Apr 2011	Remedial Action Management Program records	Allegation founded - corrective action taken
Homeland Security, United States Secret Service	Mar 2015	Surveillance video	Allegation not founded
Interior, Bureau of Land Management	Feb 2016	Contracting files from the Kremmling, CO Field Office	Allegation founded - corrective action taken
	Feb 2016	Records from the Gunnison, CO Field Office	Allegation founded - corrective action taken
	Jul 2016	Time and Attendance Records	Allegation founded - corrective action taken
Interior, Office of the Solicitor	Apr 1999	Indian trust account records	Allegation not founded
Interior, Office of the Special Trustee for American Indians	Nov 2015	Law enforcement case files	Allegation founded - corrective action taken
	Apr 2016	Internal control assessment records	Allegation founded - corrective action taken
	Apr 2016	Correspondence	Allegation founded - corrective action taken

*National Archives and Records Administration  
FY 2018 Annual Performance Plan and FY 2016 Annual Performance Report*

<b>Department or Agency</b>	<b>Opened</b>	<b>Records</b>	<b>Resolution</b>
	Apr 2016	Individual Indian Money (IIM) case files	Allegation founded - corrective action taken
	Mar 2010	Records at agency locations in western U.S.	Allegation founded - corrective action taken
	Mar 2015	Real estate appraisal case file	Allegation founded - corrective action taken
Interior, U.S. Geological Survey	Jul 2016	Microfilm of seismograms	Allegation founded - corrective action taken
Justice, Executive Office for U.S. Attorneys	Jul 1999	Records relating to Harry C. Piper v. Dept. of Justice case	Allegation founded - corrective action taken
Merit Systems Protection Board	Jul 2015	Electronic records in internal computer system	Allegation founded - corrective action taken
Navy	Mar 2015	Submarine reports	Allegation not founded
Navy, U.S. Marine Corps	Aug 2006	Records relating to 2005 incident in Haditha, Iraq	Allegation not founded
	Dec 2011	Interrogation records relating to 2005 incident in Haditha, Iraq	Allegation not founded
Office of Personnel Management	Oct 2011	Electronic records relating to USAStaffing system	Allegation not founded
Peace Corps	Feb 2013	High-level officials' daily activity schedules and program correspondence	Allegation founded - corrective action taken
Railroad Retirement Board	Jul 2015	Electronic records from IronKey devices	Allegation founded - corrective action taken
Securities and Exchange Commission	Jul 2016	Staffing case files	Allegation founded - corrective action taken
State	Jun 2015	Microfilm of passport index	Allegation founded - corrective action taken

National Archives and Records Administration  
 FY 2018 Annual Performance Plan and FY 2016 Annual Performance Report

Department or Agency	Opened	Records	Resolution
Treasury	Dec 1999	Indian trust account records	Allegation founded - corrective action taken
	Feb 2001	Indian trust account records at Denver, CO Federal Reserve Bank	Allegation founded - corrective action taken
Treasury, Internal Revenue Service	Jun 2014	Emails of former Director of Exempt Organizations Lois Lerner	Allegation founded - corrective action taken
	Sep 2014	IRS Form 3413 Transfer Requests	Allegation founded - corrective action taken
	Feb 2016	Hard drive of former Transfer Pricing Operations Director	Allegation not founded
United States Chemical Safety Board	Mar 2015	Use of non-government email for official business	Allegation founded - corrective action taken
Veterans Affairs	Feb 2010	CREW allegation regarding destruction of email being destroyed	Allegation not founded
	Jun 2013	Loan and grant files	Allegation founded - corrective action taken
	May 2015	Hospital patient records in Long Beach, California	Allegation not founded
	Jun 2015	Loan guaranty files at Cleveland Regional Office	Allegation not founded