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# National Archives and Records Administration



NATIONAL  
ARCHIVES

## **FY 2019**

### **CONGRESSIONAL JUSTIFICATION**

February 12, 2018

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**National Archives and Records Administration**

**SUMMARY of the FY 2019 REQUEST**

**Fiscal Year 2019 Budget Request**

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## Summary of the Request

The FY 2019 budget of the National Archives and Records Administration (NARA) requests \$377 million in discretionary appropriations. This is a decrease of -\$17 million from the annualized rate of operations in the FY 2018 Continuing Resolution (CR).

Within the aggregate request, \$365 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 2017 Enacted	FY 2018 Annualized CR Level	FY 2019 Request	change from FY 2018
Operating Expenses	\$ 380,634	\$ 375,784	\$ 365,105	-10,679
Office of Inspector General	4,801	4,768	4,241	-527
Repairs and Restoration	7,500	7,449	7,500	+51
NHPRC Grants Program	6,000	5,959	0	-5,959
NARA Appropriations Request	\$ 398,935	\$ 393,960	\$ 376,846	-17,114

NARA's request for Operating Expenses is a reduction of -\$10.7 million from the FY 2018 annualized CR level. NARA's request is the net of several program increases and reductions:

- (1) An increase of \$1.7 million to provide for the annualization of the FY 2018 pay raise (1.9 percent) and the extra paid day in FY 2019, and an increase of \$1.1 million to provide for rent adjustments.
- (2) Reductions totaling -\$23.5 million and -100 FTE, including reductions to development funding for Electronic Archive 2.0 (-\$6.9 million); program efficiency savings (-\$5.2 million); increasing the efficiency and effectiveness of Presidential Libraries (-\$5 million and -36 FTE); reducing funds dedicated to Information Technology development projects (-\$3 million); using shared services and implementing online training (-\$2.1 million and -24 FTE) and workforce reductions through attrition (-\$1.3 million and -40 FTE).
- (3) An increase of \$10 million to protect and preserve Presidential electronic records and to secure government physical and data assets.

NARA's request for the Office of Inspector General appropriation is a reduction of -\$527 thousand from the FY 2018 annualized CR level. NARA's request is the net of program increases and reductions:

- (1) An increase of \$22 thousand to provide for the annualization of the FY 2018 pay raise (1.9 percent).
- (2) A decrease of -\$549 thousand due to program efficiency savings.

NARA requests an increase of \$51 thousand to the Repairs and Restoration appropriation, to restore funding rescinded in the FY 2018 annualized CR level.

NARA does not request new funding for the NHPRC Grants Program appropriation, which is a reduction of -\$6 million from amounts provided in the FY 2018 annualized CR level.

**Summary of Discretionary Budget Authority**  
(Dollars in Thousands)

	FY 2017 Enacted	FY 2018 Annualized CR Level	FY 2019 Request	<i>change from FY 2018</i>
Operating Expenses	\$ 380,634	\$ 375,784	\$ 365,105	-10,679
Redemption of debt	<u>-23,049</u>	<u>-25,050</u>	<u>-27,224</u>	<u>-2,174</u>
Operating Expenses Net Budget Authority	\$ 357,585	\$ 350,734	\$ 337,881	-12,853
Office of Inspector General	4,801	4,768	4,241	-527
Repairs and Restoration	7,500	7,449	7,500	+51
NHPRC Grants Program	6,000	5,959	0	-5,959
NARA Discretionary Budget Authority	\$ 375,886	\$ 368,910	\$ 349,622	-19,288

NARA's budget requests \$350 million in net budget authority for FY 2019, which is a reduction of -\$19 million from the FY 2018 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 2019, this amount totals \$27 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 2018 – FY 2022 NARA Strategic Plan confirm NARA's commitment to openness, transparency, and citizen engagement through public access to government records. NARA's strategic framework adds context and a higher purpose to NARA operations, drives increased coordination between NARA programs, and sets priorities for improved resource allocations.

### **MISSION**

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

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

### **VISION**

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

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

### **VALUES**

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

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

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

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

## STRATEGIC GOALS

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

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

***Connect with Customers.***—NARA will improve internal and external customer engagement to cultivate and sustain public participation, and generate new understanding of the importance of records in a democracy.

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

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

## TRANSFORMATIONAL OUTCOMES

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

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

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

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

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

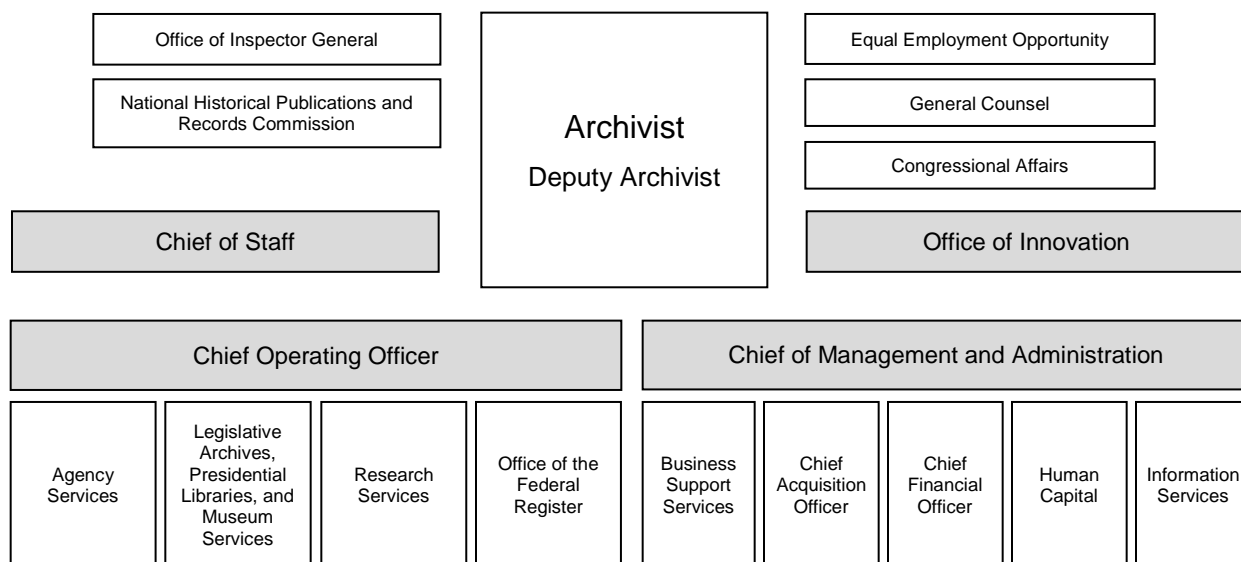
***A Customer-Focused Organization.***—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.

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

## NARA Organization

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

### National Archives and Records Administration



- *Agency Services* leads NARA efforts to meet the records management needs of Federal agencies and represents the public’s interest in the transparency of these records.
- *Legislative Archives, Presidential Libraries, and Museum Services* fulfills the records needs of the White House and Congress, researchers who make use of Presidential and Congressional records, and museum visitors, educators, and students.
- *Research Services* provides world-class service to researchers and citizens wanting to access the records of the National Archives and preserves archival holdings for the benefit of future generations.
- *The Office of the Federal Register* fulfills the Archivist’s responsibilities to publish the daily Federal Register, the Code of Federal Regulations, and the Statutes-at-Large, and other statutory requirements.

**Summary of Requested Appropriations Action**  
(Dollars in Thousands)

	FY 2017 Enacted	FY 2018 Annualized CR Level	FY 2019 Request
Operating Expenses:			
Legislative, Presidential, and Museum Services	\$ 105,374	\$ 100,519	\$ 93,998
Citizen Services	106,823	105,694	104,353
Agency and Related Services	85,349	83,339	79,724
Facility Operations	83,088	86,232	87,030
<b>Total Appropriation</b>	<b>\$ 380,634</b>	<b>\$ 375,784</b>	<b>\$ 365,105</b>
<i>Redemption of debt</i>	<u>-23,049</u>	<u>-25,050</u>	<u>-27,224</u>
<i>Net budget authority</i>	<b>\$ 357,585</b>	<b>\$ 350,734</b>	<b>\$ 337,881</b>
Office of Inspector General	4,801	4,768	4,241
Repairs and Restoration	7,500	7,449	7,500
NHPRC Grants Program	6,000	5,959	0
<b>Total Appropriations Request</b>	<b>\$ 398,935</b>	<b>\$ 393,960</b>	<b>\$ 376,846</b>
<i>Total, Discretionary net budget authority</i>	<b>\$ 375,886</b>	<b>\$ 368,910</b>	<b>\$ 349,622</b>
Total Full-Time Equivalents (FTE)	2,884.0	2,822.0	2,737.0



National Archives and Records Administration  
Summary of the FY 2018 Request

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

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
11.1 Full-time, permanent.....	\$ 135,606	\$ 139,365	\$ 133,838
11.3 Other than full-time permanent.....	166	158	159
11.5 Other personnel compensation.....	2,591	2,647	2,671
11.8 Special personal services payments.....	39	61	62
12.1 Civilian personnel benefits.....	45,619	42,890	41,202
13.0 Benefits for former personnel.....	50	160	160
21.0 Travel and transportation of persons.....	957	933	933
22.0 Transportation of things.....	333	436	436
23.1 Rental payments to GSA.....	8,765	8,549	8,697
23.2 Rental payments to others.....	1,157	1,556	1,663
23.3 Communications, utilities, and misc. charges.....	13,457	11,898	11,898
24.0 Printing and reproduction.....	373	609	585
25.1 Advisory and assistance services.....	10,613	8,954	6,625
25.2 Other services from non-Federal sources.....	20,762	24,513	24,513
25.3 Other goods and services from Federal sources.....	19,178	20,810	16,244
25.4 Operation and maintenance of facilities.....	34,792	34,115	29,000
25.5 Research and development contracts.....	91	91	91
25.7 Operation and maintenance of equipment.....	42,178	38,969	45,231
26.0 Supplies and materials.....	2,409	2,676	2,676
31.0 Equipment.....	17,445	12,790	14,290
32.0 Land and structures.....	11,695	9,843	7,565
41.0 Grants, subsidies, and contributions.....	4,488	8,434	0
42.0 Insurance claims and indemnities.....	54	0	0
43.0 Interest and dividends.....	5,923	3,922	1,748
94.0 Financial transfers.....	23,049	25,050	27,224
<b>99.0 Obligations, appropriated.....</b>	<b>\$ 401,790</b>	<b>\$ 399,429</b>	<b>\$ 377,511</b>
<i>Subtotal, PC&amp;B.....</i>	<i>184,071</i>	<i>185,281</i>	<i>178,092</i>
<i>Subtotal, non-labor.....</i>	<i>217,719</i>	<i>214,148</i>	<i>199,419</i>

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

**National Archives and Records Administration**

**OPERATING EXPENSES**

**Fiscal Year 2019 Budget Request**

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**Appropriation Language**

For necessary expenses in connection with the administration of the National Archives and Records Administration and archived Federal records and related activities, as provided by law, and for expenses necessary for the review and declassification of documents, the activities of the Public Interest Declassification Board, the operations and maintenance of the electronic records archives, the hire of passenger motor vehicles, and for uniforms or allowances therefore, as authorized by law (5 U.S.C. 5901), including maintenance, repairs, and cleaning, **\$365,105,000**.

## 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 2018 Annualized Continuing Resolution level.....	1,508.0	\$ 375,784
FY 2019 Appropriation request.....	<u>1,408.0</u>	<u>365,105</u>
Net Change.....	-100.0	-\$ 10,679
<hr/>		
	<u>FTE</u>	<u>Budget Authority</u>
<b>Maintaining Current Levels:</b>		
Annualization of FY 2018 pay raise and extra paid day		\$ 1,689
Rent increases	—	<u>1,123</u>
Subtotal, Program Increases.....	0.0	\$ 2,812
<b>Program Decreases:</b>		
Reduce ERA 2.0 development		-\$ 6,850
Program efficiency savings		-5,179
Increase efficiency and effectiveness of Presidential Libraries	-36.0	-5,000
Reduce modernization and enhancements to legacy IT systems		-3,092
Increase use of shared services and online training	-24.0	-2,106
Reduce the workforce through attrition	<u>-40.0</u>	<u>-1,264</u>
Subtotal, Program Decreases.....	-100.0	-\$ 23,491
<b>Program Increases:</b>		
Protect and preserve critical, Presidential electronic records		\$ 5,100
Secure government physical and data assets	—	<u>4,900</u>
Subtotal, Program Increases.....	0.0	\$ 10,000
<b>Net Change.....</b>	<b>-100.0</b>	<b>-\$ 10,679</b>

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The FY 2019 budget requests an appropriation of **\$365,105 thousand and 1,408 FTE** for NARA Operating Expenses. This reflects a net decrease of -\$10,679 thousand and -100 FTE from the annualized rate of operations in the FY 2018 Continuing Resolution. NARA's request is the result of the following changes:

- (1) An increase of **\$1,689 thousand**, to provide for the annualization of the FY 2018 pay raise (1.9 percent) and the extra paid day in FY 2019, plus an additional increase of **\$1,123 thousand** for rent adjustments.
- (2) Program reductions totaling **-\$23,491 thousand and -100 FTE**, including:
  - \$6,850 thousand in reductions to development funding for the Electronic Records Archive 2.0. The ERA 2.0 project is modernizing NARA's information system for storage, preservation, and public access to archival electronic records. By FY 2019, NARA will have deployed core functionality for Federal agency electronic records and will begin modernizing the ERA solution for Presidential records.
  - \$5,179 thousand reductions through program efficiency savings. Savings come from reductions to the operations and maintenance of National Archives facilities, reduced spending on archival supplies and transportation of archival records, and a number of smaller reductions to activities not directly focused on program delivery.
  - \$5,000 thousand and 36 FTE in savings through increased efficiency and effectiveness of NARA's Presidential Libraries. NARA will consolidate some operations that are currently decentralized and reduce the workforce through attrition.
  - \$3,092 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.
  - \$2,106 thousand and 24 FTE through the use of shared services for human capital and creative services, and by implementing online records management training. Online records management training will assist agencies in building a records management workforce that is skilled in electronic records and data management.
  - \$1,264 thousand and 40 FTE for additional workforce reductions accomplished through attrition.
- (3) An increase of **\$5,100 thousand** to protect and preserve Presidential electronic records. Requested funding would allow NARA to modernize systems used to process and store electronic Presidential records, using functionality developed in ERA 2.0.
- (4) Program increases of **\$4,900 thousand** to secure Government physical and data assets in FY 2019, including two-factor credentialing and authentication for access to NARA facilities and information systems, modernizing NARA Physical Access Control Systems (PACS) and Closed Circuit Television (CCTV) systems in the cloud, and modernizing NARA IT High-Value Assets (HVA).

## Prepare for Fully-Electronic Federal Recordkeeping

NARA's request includes \$10,000 thousand to begin preparing for the Federal government's transition to electronic recordkeeping. NARA's new 2018-2022 Strategic Plan announces a new direction for Federal recordkeeping. Beginning December 31, 2022, NARA will require agencies to transfer all permanent records to the National Archives in electronic formats to the fullest extent possible.

NARA currently maintains two separate infrastructures to store Federal records: A physical infrastructure of warehouses, people, and public research rooms dedicated to managing analog records, as well as virtual infrastructure of applications, servers, cloud storage, and websites to maintain and provide online public access to electronic records. The costs of maintaining analog records have prohibited necessary investments to build an appropriate infrastructure for electronic records.

NARA currently holds more than 4.6 million cubic feet of analog, archival records (excluding Presidential records), and expects to receive an additional 1 million to 2.5 million cubic feet (a 20% - 55% increase) over the next 14 years. Because NARA can only provide public access to analog records in-person, NARA maintains storage facilities and public research rooms to fulfill researcher requests and configures its storage to facilitate reference and retrieval, rather than efficient, long-term storage.

NARA can reduce its operating costs, reduce its workforce, and improve citizen services by requiring agencies to transfer archival records in electronic formats and delivering records directly to the public for free and online. Funds requested in FY 2019 would provide for investments necessary to provide a secure, modern repository for electronic archival records that facilitates online public access.

- *Protect and preserve Presidential electronic records, \$5,100 thousand.* NARA currently manages electronic Presidential records in stand-alone systems, custom-built for each Administration, and housed in on-premises servers. Requested funding could allow NARA to create a separate instance of the Electronic Records Archive 2.0 exclusively for the processing and storage of electronic Presidential records. The ERA Executive Office of the President (EOP) system would allow NARA to store archival Presidential electronic records from prior Administrations in a unified, cloud-hosted system with modern records processing applications.
- *Secure Government physical and data assets, \$4,900 thousand:*
  - *Enhance application and data-level IT security protections, \$2,500 thousand.* NARA requests funding to acquire and deploy the infrastructure, applications, and devices necessary to mandate two-factor credentialing and authentication for access to NARA facilities and information systems. This investment would allow NARA to apply two-factor authentication to individual users and devices, which would expand existing protections that provide only perimeter defense. This investment would enhance NARA IT security and provide a more effective defense from cyberattacks and other malicious activities.

- *Modernize Physical Access Control Systems (PACS) and Closed Circuit Television (CCTV) systems in the cloud, \$1,500 thousand.* Requested funding would provide for the acquisition and deployment of a cloud-based, enterprise system for controlling and monitoring access across NARA's 43 facilities and is integrated with NARA systems for logical access. This investment would allow NARA to replace disparate and outdated physical security, improve the reliability and effectiveness of surveillance monitoring, and mitigate threats to our records, building, visitors, and staff.
- *Modernize High-Value Assets (HVA), \$900 thousand.* NARA operates two high-value assets. Both systems are hosted on the same application platform, which is outdated and must be replaced. This investment will allow NARA to migrate its HVAs to modern customer relationship management tools in a secure cloud environment with modern perimeter and internal defense, including device authentication and data encryption.

### **eRulemaking Transition**

In FY 2019, the eRulemaking program will transfer from the current managing partner office at the Environmental Protection Agency (EPA) to NARA. eRulemaking includes both [regulations.gov](https://www.regulations.gov), a public-facing website that allows the public to comment on proposed rulemakings and provides transparency for regulatory dockets, and the Federal Docket Management System (FDMS), a Federal document management system that allows agencies to review comments received and manage documents associated with rulemakings that are published in the Federal Register. This transition is expected to provide a more cohesive experience for agencies and members of the public who use the Federal Register and eRulemaking websites. The integration is also expected to increase efficiencies and eliminate redundant efforts.

eRulemaking is managed by a Program Management Office of 8 FTE and \$7,850 thousand. PMO operations are financed by contributions from 40 partner agencies. Additional details on the eRulemaking program are included in the "Benefits of Electronic Government Initiatives" section of this document.



National Archives and Records Administration  
Operating Expenses

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

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
Unobligated balance, no-year appropriation.....	\$ 7,060	\$ 2,375	\$ 0
Transfer in from trust fund accounts <sup>1</sup> .....	\$ 557	\$ 600	\$ 600
Transfer in for eRulemaking <sup>2</sup> .....	\$ 0	\$ 0	\$ 7,850
Discretionary authority:			
<b>Annual appropriation.....</b>	<b>\$ 380,634</b>	<b>\$ 375,784</b>	<b>\$ 365,105</b>
Reimbursable authority:			
New spending authority collected <sup>3</sup> .....	\$ 1,510	\$ 1,356	\$ 2,299
Change in uncollected payments.....	0	0	0
Subtotal, reimbursable authority.....	\$ 1,510	\$ 1,356	\$ 2,299
Unobligated balance, expiring.....	-\$ 489	\$ 0	\$ 0
Unobligated balance, available in future years.....	-\$ 2,375	\$ 0	\$ 0
Unobligated balance, reimbursable.....	\$ 0	\$ 0	\$ 0
Total obligations.....	\$ 386,897	\$ 380,115	\$ 375,854
<b>Obligations, annual appropriation.....</b>	<b>\$ 380,702</b>	<b>\$ 376,384</b>	<b>\$ 365,705</b>
Obligations, no-year appropriation.....	4,688	2,312	0
Obligations, reimbursable.....	1,507	1,419	2,299
Obligations, transfer in for eRulemaking.....	0	0	7,850
<i>Net outlays</i>	<i>\$ 366,727</i>	<i>\$ 328,112</i>	<i>\$ 325,365</i>

1/ 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.

2/ In FY 2019, NARA anticipates \$7,850 thousand and 8 FTE when the eRulemaking program transfers from the Environmental Protection Agency (EPA).

3/ NARA anticipates providing reimbursable services to the National Archives Trust Fund (as authorized by 44 U.S.C. § 2302) in the amount of \$2,299 thousand and 38 FTE in FY 2019. Reimbursable services provide for the costs of reproducing archival documents for sale to the public and other, related projects.

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

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
11.1 Full-time, permanent.....	\$ 133,170	\$ 136,865	\$ 131,323
11.3 Other than full-time permanent.....	166	158	159
11.5 Other personnel compensation.....	2,407	2,454	2,477
11.8 Special personal services payments.....	39	61	62
12.1 Civilian personnel benefits.....	44,646	41,880	40,186
13.0 Benefits for former personnel.....	50	160	160
21.0 Travel and transportation of persons.....	917	900	900
22.0 Transportation of things.....	333	436	436
23.1 Rental payments to GSA.....	8,765	8,549	8,697
23.2 Rental payments to others.....	1,157	1,556	1,663
23.3 Communications, utilities, and misc. charges....	13,457	11,898	11,898
24.0 Printing and reproduction.....	373	609	585
25.1 Advisory and assistance services.....	9,481	8,002	6,222
25.2 Other services from non-Federal sources.....	20,686	24,513	24,513
25.3 Other goods & services from Federal sources..	19,145	20,810	16,244
25.4 Operation and maintenance of facilities.....	33,935	34,115	29,000
25.5 Research and development contracts.....	91	91	91
25.7 Operation and maintenance of equipment.....	42,170	38,959	45,221
26.0 Supplies and materials.....	2,302	2,626	2,626
31.0 Equipment.....	17,346	12,770	14,270
32.0 Land and structures.....	1,040	0	0
42.0 Insurance claims and indemnities.....	54	0	0
43.0 Interest and dividends.....	5,923	3,922	1,748
94.0 Financial transfers.....	23,049	25,050	27,224
<b>99.0 Obligations, annual appropriation.....</b>	<b>\$ 380,702</b>	<b>\$ 376,384</b>	<b>\$ 365,705</b>
<i>Subtotal, PC&amp;B.....</i>	<i>180,478</i>	<i>181,578</i>	<i>174,367</i>
<i>Subtotal, non-labor.....</i>	<i>200,224</i>	<i>194,806</i>	<i>191,338</i>
99.0 Obligations, no-year appropriation (OC 32.0)....	4,688	2,312	0
99.0 Obligations, reimbursable.....	1,507	1,419	2,299
99.0 Obligations, transfer in for eRulemaking.....	0	0	7,850
99.0 Total obligations.....	<b>\$ 386,897</b>	<b>\$ 380,115</b>	<b>\$ 375,854</b>
Full-Time Equivalents (FTE) Direct.....	1,540.0	1,508.0	1,408.0
Full-Time Equivalents (FTE) Reimbursable.....	29.0	23.0	46.0

## 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 2017		FY 2018 Annualized		FY 2019	
	Actual		CR Level		Request	
	FTE	Obligations	FTE	Authority	FTE	Authority
<b>1. Legislative, Presidential, and Museum Services:</b>						
Presidential Libraries	391.0	\$97,336	373.0	\$85,658	323.0	\$79,337
Legislative Archives, Presidential Materials, and Public Programs	<u>85.0</u>	<u>15,735</u>	<u>83.0</u>	<u>14,861</u>	<u>80.0</u>	<u>14,661</u>
Subtotal, LPM Services.....	476.0	\$113,071	456.0	\$100,519	403.0	\$93,998
<b>2. Citizen Services:</b>						
Research Services	661.0	\$92,446	661.0	\$91,429	637.0	\$90,944
Office of Innovation	<u>71.0</u>	<u>13,985</u>	<u>69.0</u>	<u>14,265</u>	<u>67.0</u>	<u>13,409</u>
Subtotal, Citizen Services.....	732.0	\$106,431	730.0	\$105,694	704.0	\$104,353
<b>3. Agency and Related Services:</b>						
Agency Services	238.0	\$43,724	228.0	\$42,625	209.0	\$40,745
Electronic Records Archives	28.0	28,800	29.0	29,394	29.0	27,681
Federal Register	<u>66.0</u>	<u>11,438</u>	<u>65.0</u>	<u>11,320</u>	<u>63.0</u>	<u>11,298</u>
Subtotal, Agency and Related.....	332.0	\$83,962	322.0	\$83,339	301.0	\$79,724
<b>4. Facility Operations:</b>						
NARA Facility Operations	0.0	\$77,238	0.0	\$86,232	0.0	\$87,030
<b>Total, Annual Appropriations.....</b>	<b>1,540.0</b>	<b>\$380,702</b>	<b>1,508.0</b>	<b>\$375,784</b>	<b>1,408.0</b>	<b>\$365,105</b>

**Legislative Archives, Presidential Libraries, and Museum Services**

(Dollars in Thousands)

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
LPM Services	\$ 113,071	\$ 100,519	\$ 93,998

NARA's FY 2019 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- \$58,389 thousand for the Presidential Libraries system, including \$25,713 thousand for the operations and maintenance of facilities;
- \$5,014 thousand for nationwide education, outreach, and exhibits programs;
- \$2,351 thousand for the Center for Legislative Archives, which provides records management services for Congress; and
- \$1,908 thousand for the Presidential Materials Division, which provides records management guidance and courtesy storage for the incumbent administration and oversees special access and declassification at the Presidential Libraries.

An additional \$26,336 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 2019 and future years:*

- NARA has a significant backlog of unanswered Freedom of Information Act (FOIA) requests at Presidential Libraries covered by the Presidential Records Act (PRA). The PRA made Presidential records subject to disclosure through FOIA five years after the end of an administration, beginning with former President Reagan. NARA must review all Presidential papers page-by-page, 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.

- The Presidential Library system preserves and maintains collections of records and artifacts that document the Administrations of 14 Presidents and presents them to the public for study and discussion. Presidential Libraries are located across the country – typically near the boyhood homes of their respective Presidents – which allows NARA to provide historical, cultural, and educational resources to those communities and contribute to local economies by promoting tourism. However, the decentralized nature of Presidential Libraries adds costs that would not be incurred in a centralized facility. NARA must maintain multiple, small facilities and a geographically dispersed workforce, and stores multiple, small collections of records and artifacts to the high standards required for archival records. The Presidential Libraries program is responsible for about five percent of NARA’s archival records, but represents more than 20 percent of NARA’s FY 2019 request for Operating Expenses.

**LPM Services FY 2019 Budget Request**

The FY 2019 budget request provides \$93,998 thousand for LPM Services, a net decrease of -\$6,521 thousand from the FY 2018 Annualized CR level, including:

- +\$405 thousand for the annualization of FY 2018 pay raise;
- -\$5,000 thousand by increasing the efficiency and effectiveness of Presidential Libraries;
- -\$773 in additional workforce reductions;
- -\$618 thousand from decreases in allocated costs of management and administration, including information technology; and
- -\$535 in efficiency savings.

**Citizen Services**

*(Dollars in Thousands)*

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
Research Services	\$ 92,446	\$ 91,429	\$ 90,944
Office of Innovation	\$ 13,985	\$ 14,265	\$ 13,409
Total	\$ 106,431	\$ 105,694	\$ 104,353

NARA’s FY 2019 request for *Citizen Services* includes:

- \$59,288 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;
- \$8,620 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 \$36,445 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 [www.archives.gov](http://www.archives.gov). 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 2019 and future years:*

- Federal agencies are creating large volumes of electronic, cloud-hosted, and web-based Federal records, but NARA is still struggling to maintain large stocks of analog records. NARA currently holds more than 4.6 million cubic feet of archival records in analog formats (paper, photographs, etc.), and anticipates that an additional 1 million to 2.5 million cubic feet of analog records will be transferred to Research Services over the next 14 years. NARA must have sufficient storage space that meets archival standards and sufficient resources to manage analog records while investing in technology, business processes, and staff who can effectively process, preserve, and make publicly available the next generation of modern, electronic records as they are transferred from agencies.
- 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 2019 Budget Request**

The FY 2019 budget request provides \$90,944 thousand for Research Services, a net decrease of -\$485 thousand from the FY 2018 Annualized CR level, including:

- +\$521 thousand for the annualization of FY 2018 pay raise;
- -\$743 thousand from decreases in allocated costs of management and administration, including information technology; and
- -\$263 in efficiency savings

## 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 projects 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 2019 and future years:*

- 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. 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 that now average 1.2 billion views a year. 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.
- Despite growing demand, NARA has been challenged in expanding the volume of records available to the public online. NARA added 20 million pages of digitized archival records to its online catalog last year, more than doubling the content available in FY 2016; however, the total 36.5 million pages currently available is less than 0.3 percent of the estimated 12 billion pages of archival documents in NARA's collection. NARA must identify new technologies, rapidly accelerate digitization, and deliver more of the vast collection of the National Archives to the public through online tools and [www.archives.gov](http://www.archives.gov).

## Office of Innovation FY 2019 Budget Request

The FY 2019 budget request provides \$13,409 thousand for the Office of Innovation, a net decrease of -\$856 thousand from the FY 2018 Annualized CR level, including:

- +\$74 thousand for an increase in allocated costs of management and administration, including information technology;
- +\$70 thousand for the annualization of FY 2018 pay raise; and
- -\$1,000 for non-recurring funds provided in FY 2017 for website modernization.



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

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
Agency Services	\$ 43,724	\$ 42,625	\$ 40,745
Electronic Records Archives	28,800	29,394	27,681
Federal Register	11,438	11,320	11,298
Total	\$ 83,962	\$ 83,339	\$ 79,724

NARA's FY 2019 request for *Agency and Related Services* includes:

- \$25,773 thousand for the Agency Services organization, including \$4,070 thousand for the Information Security Oversight Office, \$6,758 thousand for the National Declassification Center, and \$1,317 thousand for the Office of Government Information Services;
- \$27,681 thousand for the electronic records management activities of the Electronic Records Archives system; and
- \$7,381 thousand for the Office of the Federal Register.

An additional \$18,889 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 2019 and future years:*

- NARA's new 2018-2022 Strategic Plan establishes the agency's goal to stop accepting records in analog formats by December 31, 2022. NARA must provide agencies with clear and effective guidance, training, and electronic tools to assist agencies in transitioning to fully electronic business processes and recordkeeping. NARA must also collaborate with the private sector to ensure that agencies can acquire affordable, compliant records management systems and services in a competitive market.

- NARA's National Declassification Center (NDC) successfully retired the declassification backlog of previously reviewed records that existed in January 2010. The NDC is now reviewing classified series that were accessioned after 2010, but the number of new, unprocessed records continues to grow. Tens of millions of new pages require declassification processing annually, many of which require intensive declassification review and processing. In addition, the NDC has a small but growing backlog of classified special media (photographs, films, etc.) and new, classified electronic records. The NDC must adapt its processes that successfully addressed the backlog of classified paper records in order to begin to process analog records in other formats as well as electronic records.

### **Agency Services FY 2019 Budget Request**

The FY 2019 budget request provides \$40,745 thousand for Agency Services, a net decrease of -\$1,880 thousand from the FY 2018 Annualized CR level, including:

- +\$250 thousand for the annualization of FY 2018 pay raise;
- -\$1,227 thousand in program efficiency savings from the use of shared services;
- -\$552 thousand from workforce reductions and program efficiency savings; and
- -\$351 thousand from decreases in allocated costs of management and administration, including information technology.

### **Information Services Strategic Direction**

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

The *Information Services* organization supports NARA programs and activities through the application of information technology and sound information management practices. Information Services provides tools and technologies that support preservation of and access to electronic Federal government records in NARA's custody.

*Management challenges and opportunities for FY 2019 and future years:*

- Maintaining effective IT Security remains a challenge for all Federal agencies, including NARA. NARA has made significant progress in establishing perimeter defenses at the network level, but must make greater progress in deploying user and device authentication services. NARA must expand its use of two-factor authentication of users, devices, and applications to provide greater security within the network, and better block and isolate malicious activities.
- Federal government data sets are growing in size and complexity, and the transfer of this data is an emerging threat to records management and archiving. Today, large data transfers require physical movement and transfer of storage devices. The future state for effective data management across the government is to manage data in place, instead of moving it. Cloud storage offers the opportunity to transfer custody and control of Federal government records and the associated metadata without physically moving them. NARA

will work with cloud providers and agencies to identify lower-cost options to store inactive records for occasional access.

### **Electronic Records Archives FY 2019 Budget Request**

The FY 2019 budget request provides \$27,681 thousand for the ERA system, a net decrease of -\$1,713 thousand from the FY 2018 Annualized CR level, including:

- +\$5,100 thousand to protect and preserve Presidential electronic records;
- +\$37 thousand for the annualization of FY 2018 pay raise; and
- -\$6,850 thousand in non-recur ERA 2.0 development.

Funds requested for ERA 2.0 in FY 2019 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 2019 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 2019 Budget Request**

The FY 2019 budget request provides \$11,298 thousand for the Office of the Federal Register, a net decrease of -\$22 thousand from the FY 2018 Annualized CR level, including:

- +\$120 thousand for the annualization of FY 2018 pay raise;
- -\$92 thousand from decreases in allocated costs of management and administration, including information technology; and
- -\$50 thousand in program efficiency savings.

**Facility Operations**

(Dollars in Thousands)

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
Facility Operations	\$ 77,239	\$ 86,232	\$ 87,030

NARA’s FY 2019 request for *Facility Operations* includes:

- \$58,058 thousand for rent, utilities, and other costs of operations and maintenance at three NARA-owned Federal buildings and 26 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. \$1,748 thousand is provided for interest payments and \$27,224 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, physical security, and facility and property management.

*Management challenges and opportunities for FY 2019 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 600,000 cubic feet of newly-accessioned archival records since FY 2012, an increase of 14 percent, but has not seen an equivalent increase in space available for the storage of these records. NARA expects to receive an additional 1 million to 2.5 million cubic feet of new archival records over the next 14 years.
- Recent high-profile records thefts highlight the importance of a robust holdings protection program. NARA has improved employee training in holdings protection, instituted exit screenings to mitigate the risk of loss from internal sources, and is collaborating with partner institutions to share best practices in holdings protection. NARA must make additional investments in its physical infrastructure, including by replacing aging closed circuit television (CCTV) monitoring systems and physical access control systems (PACS), in order to improve the safety and security of NARA records and occupants of NARA facilities.

**Facility Operations FY 2019 Budget Request**

The FY 2019 budget request provides \$87,030 thousand for Facility Operations, a net increase of \$798 thousand from the FY 2018 Annualized CR level, including the following:

- *+\$1,123 thousand for increases to rent and other costs of operations and maintenance;*  
*and*
- *-\$325 thousand in program efficiency savings.*

Information Technology (IT) Resource Statement



9/11/17

To: Office of Management and Budget

From: Swarnali Haldar  
Chief Information Officer *Swarnali Haldar*

Colleen Murphy  
Chief Financial Officer *Colleen Murphy*

Subject: Information Technology (IT) Resource Statements

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

- The CIO has reviewed and approved all IT investments;
- The CFO and the CIO jointly affirm that the CIO had a significant role in reviewing planned IT support for major IT program objectives including significant increases or decreases in IT resources reflected in the Agency budget request;
- As a non-CFO Act Agency, the FITARA requirements are not applicable;
- The CIO certifies that she is aware of the investments that are using incremental development practices, emphasizing the Electronic Records Archives 2.0 which is NARA's primary software development project.

NATIONAL ARCHIVES *and*  
RECORDS ADMINISTRATION  
8601 ADELPHI ROAD  
COLLEGE PARK, MD 20740-6001  
[www.archives.gov](http://www.archives.gov)

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**National Archives and Records Administration**

**OFFICE OF INSPECTOR GENERAL**

**Fiscal Year 2019 Budget Request**

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### **Appropriation Language**

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Reform Act of 2008, Public Law 110–409, 122 Stat. 4302–16 (2008), and the Inspector General Act of 1978 (5 U.S.C. App.), 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 2018 Annualized Continuing Resolution level.....	24.0	\$ 4,768
FY 2019 Appropriation request.....	<u>24.0</u>	<u>4,241</u>
Net Change.....	0.0	-\$ 527

	<u>FTE</u>	<u>Budget Authority</u>
Annualization of FY 2018 pay raise		22
Program efficiency savings		<u>-549</u>
<b>Net Change</b> .....	<b>0.0</b>	<b>-\$ 527</b>

**Summary of the Request**

The FY 2019 budget requests \$4,241 thousand for the Office of Inspector General (OIG), which is a decrease of -\$527 thousand from the annualized rate of operations provided in the FY 2018 Continuing Resolution. The request includes \$22 thousand to provide for the annualization of the FY 2018 pay raise (1.9 percent) and a reduction of -\$549 thousand for efficiency savings.

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

- The OIG request includes \$46 thousand for training in FY 2019, to support the continuing professional development of OIG staff. The Government Accountability Office (GAO) states that all auditors must receive at least 80 hours of training every two years in order to meet mandated standards. 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 \$8,482 in FY 2019.

## **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 43 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 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
Discretionary authority:			
Annual appropriation.....	\$ 4,801	\$ 4,768	\$ 4,241
Unobligated balance, expiring.....	-\$ 586	\$ 0	\$ 0
<b>Total obligations.....</b>	<b>\$ 4,215</b>	<b>\$ 4,768</b>	<b>\$ 4,241</b>
<i>Net outlays</i>	<i>\$ 4,535</i>	<i>\$ 4,404</i>	<i>\$ 4,532</i>

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

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
11.1 Full-time, permanent.....	\$ 2,436	\$ 2,500	\$ 2,515
11.5 Other personnel compensation.....	184	193	194
12.1 Civilian personnel benefits.....	973	1,010	1,016
21.0 Travel and transportation of persons.....	40	33	33
25.1 Advisory and assistance services.....	329	952	403
25.2 Other services from non-Federal sources.....	23	0	0
25.3 Other goods & services from Fed. sources.....	23	0	0
25.4 Operation and maintenance of facilities.....	13	0	0
25.7 Operation and maintenance of equipment.....	8	10	10
26.0 Supplies and materials.....	92	50	50
31.0 Equipment.....	94	20	20
<b>99.0 Total obligations.....</b>	<b>\$ 4,215</b>	<b>\$ 4,768</b>	<b>\$ 4,241</b>
<i>Subtotal, PC&amp;B.....</i>	<i>3,593</i>	<i>3,703</i>	<i>3,725</i>
<i>Subtotal, non-labor.....</i>	<i>622</i>	<i>1,065</i>	<i>516</i>
Full-Time Equivalents (FTE).....	19.0	24.0	24.0

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**National Archives and Records Administration**

**REPAIRS AND RESTORATION**

**Fiscal Year 2019 Budget Request and**

**Capital Improvements Plan**

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**Appropriation Language**

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage for holdings, **\$7,500,000**, to remain available until expended.

**Program Description**

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

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

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	Budget Authority
FY 2018 Annualized Continuing Resolution level.....	\$ 7,449
FY 2019 Appropriation request.....	<u>7,500</u>
Net Change.....	\$ 51

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**Summary of the Request**

The FY 2019 budget requests \$7,500 thousand for Repairs and Restoration of NARA-owned Federal buildings, which is an increase of \$51 thousand from the annualized rate of operations provided in the FY 2018 Continuing Resolution. The requested increase restores amounts rescinded in the FY 2018 Continuing Resolution. 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 2019 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 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
Unobligated balance carried forward.....	\$ 1,670	\$ 1,617	\$ 1,600
Recoveries of prior-year obligations.....	\$ 143	\$ 65	\$ 65
New discretionary authority:			
No-year appropriation.....	\$ 7,500	\$ 7,449	\$ 7,500
<b>New Discretionary authority.....</b>	<b>\$ 7,500</b>	<b>\$ 7,449</b>	<b>\$ 7,500</b>
Unobligated balance, available in future years.....	-\$ 1,617	-\$ 1,600	-\$ 1,600
<b>Total obligations.....</b>	<b>\$ 7,697</b>	<b>\$ 7,531</b>	<b>\$ 7,565</b>
<i>Net outlays</i>	\$ 10,338	\$ 10,949	\$ 10,752

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

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
25.1 Advisory and assistance services.....	\$ 803	\$ 0	\$ 0
25.2 Other services.....	53	0	0
25.3 Goods and services from Gov't accounts.....	10	0	0
25.4 Operation and maintenance of facilities.....	844	0	0
26.0 Supplies and materials.....	15	0	0
31.0 Equipment.....	5	0	0
32.0 Land and structures.....	5,967	7,531	7,565
<b>99.0 Total obligations.....</b>	<b>\$ 7,697</b>	<b>\$ 7,531</b>	<b>\$ 7,565</b>

## **FY 2019 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 replaced 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.*—The HVAC systems and the mobile shelving controls are at the end of their anticipated service life. NARA has begun replacing components of the HVAC systems. Most major mechanical equipment has an anticipated service life of between 20 to 30 years of normal use: NARA HVAC systems have maintained continuous archival storage standards, 365 days per year for nearly 25 years. In FY 2016, NARA refurbished existing gas filtration units for air handling units. The roof is also approaching the end of its anticipated service life. NARA has replaced several sections of roof between FY 2010 and FY 2017; with several more sections to replace.

*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 not included in the renovations as current archival storage standards had not been developed. Since then, many small repairs have been made, based on BCR recommendations (mostly related to fire protection, fire alarm systems, and an elevator replacement project). In FY 2014 NARA replaced the complete building security system. In FY 2015, NARA completed a two-year project to replace the Library holdings air handling units. Previously renovated areas need to be brought into compliance with current archival storage standards.

*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. Since its dedication in May 1971, the library has not undergone 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). 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). In FY 2016 and FY 2017, NARA funded roofing repairs and replacement.

*Ronald Reagan Library, Simi Valley, CA, HVAC Phase 2 Renovation (Re-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 reached the end of their 25-year service life in FY 2014 and require a major renovation.

NARA replaced a portion of the original building systems in connection with a 2011 renovation of the museum space that was funded by the private Ronald Reagan Foundation. NARA also replaced a portion of the HVAC equipment 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 plan now requires an update to reflect current requirements and multi-year construction funding. In FY 2015, NARA funded a large roof replacement, and completed a security upgrade project in FY 2016.

*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.

*Jimmy Carter Library, Atlanta, GA, Building Renovation (Design & Construction).*—NARA replaced portions of the building mechanical systems in connection with the Foundation-funded renovation of the museum exhibit. This project helped to bring areas of the facility into compliance with current archival standards and improved energy efficiency. In FY 2016, NARA conducted extensive repairs to Library mechanical systems and duct work, and renovations to administrative space in the Library. The majority of electrical equipment will require replacement.

*William J. Clinton Library, Little Rock, AR, Building Renovation and Repairs (Design & 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 FY 2019. The Clinton Library opened in 2004 and by FY 2022, it is anticipated that renovation will be necessary to the building structure and systems.

*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, however, coastal climate requires ongoing maintenance on the seawall.

*George H.W. Bush Library, College Station, TX, Building Renovation (Design & Construction).*—In FY 2019, the George H. W. Bush Library will be twenty-two years old. NARA must anticipate and plan for a renovation to the building.

*George W. Bush Library, Dallas, TX, HVAC holding area improvements.*—In FY 2017, NARA conducted a study on HVAC systems that serve textual and artifact holdings rooms. The results of this study will determine both operational and additional equipment required to improve temperature and humidity per the Architectural Design Standards for Presidential Libraries (ADSPL).

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

**Fiscal Year 2019 Budget Request**

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### **Appropriation Language**

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

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

No appropriations are requested for the National Historical Publications and Records Commission (NHPRC) grants program in FY 2019.

### **Program Description**

The National Historical Publications and Records Commission (NHPRC) grants program provides for grants to preserve and publish non-Federal records that document American history. The Budget does not request funds for this program.

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

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

	<u>Budget Authority</u>
FY 2018 Annualized Continuing Resolution level.....	\$ 5,959
FY 2019 Appropriation request.....	<u>0</u>
Net Change.....	-\$ 5,959

**Summary of the Request**

NARA requests no new funding in the FY 2019 budget for the National Historical Publications and Records Commission (NHPRC). Appropriations to the NHPRC Grants Program provide for grants only; an additional \$1,391 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 2019 to administer grants awarded in previous years.

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

	FY 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
Unobligated balance carried forward.....	\$ 378	\$ 2,225	\$ 0
Recoveries of prior-year obligations.....	\$ 335	\$ 250	\$ 250
New discretionary authority:			
<b>No-year appropriation.....</b>	\$ 6,000	\$ 5,959	\$ 0
Unobligated balance, available in future years.....	-\$ 2,225	\$ 0	-\$ 250
<b>Total obligations.....</b>	<b>\$ 4,488</b>	<b>\$ 8,434</b>	<b>\$ 0</b>
<i>Net outlays</i>	\$ 4,782	\$ 6,724	\$ 5,070



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 2017 Actual	FY 2018 Annualized CR Level	FY 2019 Request
41.0 Grants, subsidies, and contributions.....	\$ 4,488	\$ 8,434	\$ 0
<b>99.0 Total obligations.....</b>	<b>\$ 4,488</b>	<b>\$ 8,434</b>	<b>\$ 0</b>

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**National Archives and Records Administration**

**SPECIAL FUNDS**

**Fiscal Year 2019 Budget Request**

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## **Records Centers Revolving Fund**

### **Authorizing Language**

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

### **Program Description**

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

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

	<u>FTE</u>	<u>Obligations</u>
FY 2018 Current.....	1,201.0	\$ 195,540
FY 2019 Budget.....	<u>1,201.0</u>	<u>194,500</u>
Net Change.....	0.0	-\$ 1,040

The FY 2019 budget includes an estimated \$194,500 thousand in obligations for the Records Centers Revolving Fund. This represents a net decrease of -\$1,040 thousand from FY 2018 estimated obligations. This full cost-recovery revolving fund provides for the operations of the NARA Federal Records Centers Program (FRCP). The FRCP stores over 28 million cubic feet of Federal government records on a temporary basis, on behalf of other Federal agencies. The FRCP is financed by payments from customer Federal agencies for services rendered.

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

National Archives and Records Administration  
Records Centers Revolving Fund

**Income/Cost Comparison**  
(Dollars in Thousands)

	FY 2017 Actual	FY 2018 Current	FY 2019 Budget
Revenue.....	\$ 187,465	\$ 192,400	\$ 192,500
Expenses.....	188,183	191,800	192,200
<b>Net Operating Result.....</b>	<b>-\$ 718</b>	<b>\$ 600</b>	<b>\$ 300</b>

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

	FY 2017 Actual	FY 2018 Current	FY 2019 Budget
Unobligated balance carried forward.....	\$ 53,739	\$ 64,126	\$ 63,486
Recoveries of prior-year obligations.....	\$ 4,721	\$ 2,500	\$ 2,500
New discretionary authority:			
Collections from other Federal agencies.....	\$ 188,339	\$ 192,400	\$ 192,500
Change in unfilled customer orders.....	\$ 973	\$ 0	\$ 0
<b>New Discretionary authority.....</b>	<b>\$ 189,312</b>	<b>\$ 192,400</b>	<b>\$ 192,500</b>
Unobligated balance, available in future years.....	-\$ 64,126	-\$ 63,486	-\$ 63,986
<b>Total obligations.....</b>	<b>\$ 183,647</b>	<b>\$ 195,540</b>	<b>\$ 194,500</b>
<i>Net outlays</i>	<i>-\$ 3,436</i>	<i>-\$ 581</i>	<i>\$ 0</i>

National Archives and Records Administration  
Records Centers Revolving Fund

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

	FY 2017 Actual	FY 2018 Current	FY 2019 Budget
11.1 Full-time, permanent.....	\$ 62,449	\$ 65,300	\$ 65,730
11.3 Other than full-time permanent.....	116	670	684
11.5 Other personnel compensation.....	4,676	3,710	3,783
11.8 Special personal services payments.....	72	60	60
12.1 Civilian personnel benefits.....	23,228	24,300	24,783
13.0 Benefits for former personnel.....	150	300	300
21.0 Travel and transportation of persons.....	485	500	500
22.0 Transportation of things.....	2,134	1,400	1,545
23.1 Rental payments to GSA.....	42,290	44,500	43,900
23.2 Rental payments to others.....	11,598	12,000	12,300
23.3 Communications, utilities, and misc. charges....	4,621	4,700	4,805
24.0 Printing and reproduction.....	112	50	50
25.1 Advisory and assistance services.....	3,089	4,000	3,550
25.2 Other services from non-Federal sources.....	3,727	4,700	2,700
25.3 Other goods & services from Federal sources...	11,291	11,600	11,800
25.4 Operation and maintenance of facilities.....	744	250	400
25.7 Operation and maintenance of equipment.....	9,662	10,900	10,900
26.0 Supplies and materials.....	1,245	1,000	1,110
31.0 Equipment.....	1,889	5,600	5,600
32.0 Land and structures.....	68	0	0
<b>99.0 Total obligations.....</b>	<b>\$ 183,647</b>	<b>\$ 195,540</b>	<b>\$ 194,500</b>
<i>Subtotal, PC&amp;B.....</i>	<i>90,691</i>	<i>94,340</i>	<i>95,340</i>
<i>Subtotal, non-labor.....</i>	<i>93,105</i>	<i>101,200</i>	<i>99,160</i>
Full-Time Equivalents (FTE).....	1,229.0	1,201.0	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 2018 Current.....	\$ 3,357
FY 2019 Budget.....	<u>2,617</u>
Net Change.....	-\$ 740

The FY 2019 budget includes an estimated \$2,617 thousand in obligations for the National Archives Gift Fund. This represents a net decrease of -\$740 thousand from FY 2018 estimated obligations.

**Amounts Available for Obligation**

(Dollars in Thousands)

	FY 2017 Actual	FY 2018 Current	FY 2019 Budget
Unobligated balance carried forward.....	\$ 2,773	\$ 2,592	\$ 2,522
Recoveries of prior-year obligations.....	\$ 140	\$ 10	\$ 10
New mandatory authority:			
<b>Mandatory Appropriation.....</b>	<b>\$ 2,537</b>	<b>\$ 3,277</b>	<b>\$ 2,815</b>
Unexpired unobligated balance, end of year.....	-\$ 2,592	-\$ 2,522	-\$ 2,730
<b>Total obligations.....</b>	<b>\$ 2,857</b>	<b>\$ 3,357</b>	<b>\$ 2,617</b>
<i>Net outlays</i>	\$ 2,339	\$ 3,210	\$ 2,743



National Archives and Records Administration  
National Archives Gift Fund

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

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	FY 2017 Actual	FY 2018 Current	FY 2019 Budget
21.0 Travel and transportation of persons.....	\$ 36	\$ 80	\$ 71
22.0 Transportation of things.....	34	129	19
23.3 Communications, utilities, and misc. charges....	3	0	0
24.0 Printing and reproduction.....	91	60	43
25.2 Other services from non-Federal sources.....	766	901	656
25.3 Other goods & services from Federal sources...	142	532	384
26.0 Supplies and materials.....	48	123	97
31.0 Equipment.....	122	78	23
32.0 Land and structures.....	2	35	0
33.0 Investments.....	1,055	858	763
94.0 Financial Transfers.....	557	561	561
<b>99.0 Total obligations.....</b>	<b>\$ 2,857</b>	<b>\$ 3,357</b>	<b>\$ 2,617</b>

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## National Archives Trust Fund

### Authorizing Language

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

### Program Description

The National Archives Trust Fund receives and disburses funds collected from sales to the public, including: reproductions of records, magazines and publications, and merchandise. Additionally, the Trust Fund collects royalties from partnership agreements, investment income, admission fees to Presidential Library museums, and reimbursements from other Federal agencies for records management training and workshops for Federal employees and contractors.

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

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

Sales of Publications and Merchandise: The Trust Fund supports e-Commerce sites for the Presidential Libraries and provides for the operation of several Library museum stores in facilities across the country.

Sales of Prologue Magazine: The Trust Fund supports the printing and distribution of Prologue magazine, a publication that presents stories based on the rich holdings and programs of the National Archives across the nation.

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

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

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

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

	<u>FTE</u>	<u>Obligations</u>
FY 2018 Current.....	66.0	\$ 17,617
FY 2019 Budget.....	<u>66.0</u>	<u>18,896</u>
Net Change.....	0.0	\$ 1,279

The FY 2019 budget includes an estimated \$18,896 thousand in obligations for the National Archives Trust Fund. This represents a net increase of \$1,279 thousand from FY 2018 estimated obligations.

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

	FY 2017 Actual	FY 2018 Current	FY 2019 Budget
Unobligated balance carried forward.....	\$ 5,993	\$ 5,228	\$ 6,529
Unobligated balance, precluded from obligation.....	\$ 0	\$ 95	\$ 161
Recoveries of prior-year obligations.....	\$ 800	\$ 550	\$ 550
New mandatory authority:			
Collections from Federal and Non-Federal sources	\$ 19,922	\$ 18,100	\$ 18,400
Change in unfilled customer orders	-\$ 9	\$ 0	\$ 0
Joint Committee Sequestration <sup>1</sup> .....	-\$ 95	-\$ 66	-\$ 66
<b>New Discretionary authority.....</b>	<b>\$ 19,818</b>	<b>\$ 18,034</b>	<b>\$ 18,334</b>
Unexpired unobligated balance, end of year.....	-\$ 5,173	-\$ 6,640	-\$ 6,678
Unobligated balance, precluded from obligation.....	[ 95 ]	[ 161 ]	[ 227 ]
<b>Total obligations.....</b>	<b>\$ 21,439</b>	<b>\$ 17,267</b>	<b>\$ 18,896</b>
<i>Net outlays</i>	<i>\$ 1,384</i>	<i>-\$ 1,982</i>	<i>\$ 554</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 6.9 percent in FY 2017, and an estimated 6.6 percent in FY 2018 and FY 2019.

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

	FY 2017 Actual	FY 2018 Current	FY 2019 Budget
11.1 Full-time, permanent.....	\$ 3,555	\$ 3,902	\$ 3,957
11.3 Other than full-time permanent.....	91	129	131
11.5 Other personnel compensation.....	170	161	164
12.1 Civilian personnel benefits.....	1,368	1,375	1,396
21.0 Travel and transportation of persons.....	192	200	200
22.0 Transportation of things.....	160	195	195
23.2 Rental payments to others.....	0	0	0
23.3 Communications, utilities, and misc. charges....	75	80	80
24.0 Printing and reproduction.....	436	500	500
25.1 Advisory and assistance services.....	24	21	20
25.2 Other services from non-Federal sources.....	2,808	2,800	2,768
25.3 Other goods & services from Federal sources...	1,539	1,500	1,558
25.4 Operation and maintenance of facilities.....	173	148	140
25.7 Operation and maintenance of equipment.....	249	248	231
26.0 Supplies and materials.....	1,939	2,365	2,489
31.0 Equipment.....	144	145	145
32.0 Land and structures.....	8	0	0
33.0 Investments.....	8,508	3,848	4,922
<b>99.0 Total obligations.....</b>	<b>\$ 21,439</b>	<b>\$ 17,617</b>	<b>\$ 18,896</b>
<i>Subtotal, PC&amp;B.....</i>	<i>5,184</i>	<i>5,567</i>	<i>5,648</i>
<i>Subtotal, non-labor.....</i>	<i>16,255</i>	<i>12,050</i>	<i>13,248</i>
Full-Time Equivalents (FTE).....	67.0	66.0	66.0

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This section reports on the benefits realized and expected from Electronic Government (E-Gov) initiatives funded by NARA, either as the managing agency or 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.

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.

### **E-Rulemaking**

NARA will assume responsibilities as the Managing Partner for the E-Rulemaking program in FY 2019. NARA’s planned contributions to E-Rulemaking are reported in the next section.

The E-Rulemaking program provides government-wide solutions to improve public access, participation in, and understanding of the rulemaking process; and to provide other agencies with an efficient and effective tool to manage their regulatory notice and comment process. E-Rulemaking provides a public website, <http://www.regulations.gov/>, which allows the public to review and comment on various documents that are published in the Federal Register, including proposed regulations and agency-specific notices. The Federal Docket Management System (FDMS) is a non-public system that allows agencies to administer public comments and manage the documents associated with each proposed rulemaking (“dockets”).

E-Rulemaking is managed by a Program Management Office (PMO). The PMO coordinates operations through 40 contributing partner departments and independent agencies. The E-Rulemaking program is governed by an Executive Steering Committee and an Advisory Board, both of which are comprised of representatives of contributing partner agencies. These committees ensure that partner agencies are fully engaged in E-Rulemaking operations, system enhancements, and long-range planning for program development.

NARA anticipates collecting \$7,850 thousand in FY 2019.

**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 2018	FY 2019
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.	\$ 6,756 service fee	\$ 6,484 service fee
		\$ 4,141 service fee Revolving Fund	\$ 3,974 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.	\$ 13,000 service fee	\$ 13,455 service fee
		\$ 12,000 service fee Revolving Fund	\$ 12,420 service fee Revolving Fund
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	\$ 57,888 service fee
		\$ 37,516 service fee Revolving Fund	\$ 33,997 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.	\$ 37,005 agency contribution	\$ 38,792 agency contribution

**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 2018	FY 2019
Freedom of Information Act Portal	The National FOIA Portal improves overall FOIA administration, providing citizens with a single site to submit electronic request for records from any agency.	\$ 0	\$ 51,000 agency contribution



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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, 2017). 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 2019 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-9-2017.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 2019 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 2019 budget for NARA <u>Operating Expenses</u> includes funding to rapidly accelerate the Federal government’s migration to fully-electronic recordkeeping. NARA’s request continues funding for the ERA 2.0 system and requests additional funding to support development of an equivalent system for Presidential records.</p> <p>This funding supports NARA’s new 2018-2022 Strategic Plan, particularly the new strategic objective to stop accepting paper records, to the fullest extent possible, by December 22, 2022. This initiative encourages other Federal agencies to wind down paper-based operations so that they can concentrate management attention on managing electronic records.</p> <p>In FY 2018, NARA will deploy additional policy, guidance, and training to assist other agencies in the transition to fully-electronic recordkeeping. NARA will also deploy new resources within the agency to better prepare for the anticipated wave of paper records that will be transferred to NARA in anticipation of the 2022 deadline.</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 2019 budget for <u>Operating Expenses</u> includes funding to support continuous monitoring of NARA IT systems and networks, and to implement NIST standards for continuous monitoring of IT security risks.</p> <p>The FY 2019 budget for <u>Operating Expenses</u> requests additional funding to achieve 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 has also requested additional funding to modernize to the technology platform that supports both of NARA's High-Value Assets (HVAs); this upgrade will implement DHS recommendations to improve NARA's IT security posture. NARA Management believes these actions directly address key findings and recommendations of the OIG.</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 2019 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 2019 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 78% of total traditional holdings at the end of FY 2017. This progress was made despite a 53% 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 2019 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 2019 <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 2019 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 2019 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 2019 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 2019 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 2019 budget includes funding for testing and monitoring of those controls to deter theft, provide reasonable assurance that vulnerabilities are reduced, and allow for the timely identification of any future weakness.</p>

*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>In FY 2019, NARA will migrate to a new shared services provider for human resources systems and services. NARA currently contracts for HR systems and uses NARA employees to provide services. However, NARA has been challenged to achieve acceptable levels of performance and customer service under the current model. As a result, NARA Management determined that the best approach to address this risk is to migrate to a new HR system with greater internal controls and to transition HR processing work to the shared service provider (and away from NARA FTE).</p>
<p><b>10. Enterprise Risk Management:</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 2019 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 2018, 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 2019 ANNUAL PERFORMANCE PLAN and  
FY 2017 ANNUAL PERFORMANCE REPORT**

**Fiscal Year 2019 Budget Request**

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

The National Archives and Records Administration (NARA) has proposed new strategic objectives in the draft NARA FY 2018 – FY 2022 Strategic Plan. NARA's draft Strategic Plan details the actions and outcomes necessary to meet agency Strategic Goals. NARA's Annual Performance Plan lists the performance goals and measures that NARA uses to evaluate performance progress against those goals.

### *VISION:*

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

### *MISSION:*

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

### *STRATEGIC GOALS:*

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

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

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

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

The *President's Budget* identifies lower-priority program activities, as required by 31 U.S.C. 1115(b) (10). NARA received no aid from non-Federal parties in preparing this plan.

## Performance by Strategic Goal

### Make Access Happen

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

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

*Description of measure:* Archival processing refers to those actions NARA must take in order to provide efficient access for researchers and members of the public, including: cataloging and description, basic preservation, and adding the records to NARA’s inventory control system. 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>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent of archival holdings processed	<i>Target</i>	67%	70%	>72%	78%	79%	80%
	<i>Actual</i>	68%	72%	74%	78%		
Total number of archival holdings processed	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	3.4M	3.5M	3.8M	4.3M		

*Performance summary:* Following an FY 2017 study, NARA established new processing standards to improve our efficiency in processing records. These guidelines provide a valuable benchmark for planning, and NARA will continue to monitor and refine processing rates in FY 2018 and FY 2019.

In FY 2018, NARA will incorporate the new processing standards into agency annual work planning and reporting processes. NARA will also deploy a new tool for tracking processing projects in FY 2018; this tool should greatly enhance and simplify the way that staff track the steps that comprise basic processing. NARA’s goal is to complete basic processing within 12 to 18 months of receiving a new transfer of records to NARA’s legal custody.

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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Number of pages digitized and made available online through the Catalog	<i>Target</i>	—	—	Baseline	40M	65M	90M
	<i>Actual</i>	—	—	16.5M	36.5M		

*Performance Summary:* Throughout FY 2018 and FY 2019, NARA will complete necessary improvements to the underlying information technology (IT) systems – the Descriptions and Authority Service and the National Archives Catalog – to ensure that 500M pages can be adequately stored, indexed, and accessed via the Catalog. In addition, we will further enhance digitization policy, improve NARA digitization processes, deploy digitization pilot projects, and establish a contract vehicle to support digitization efforts.

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

*Description of measure:* Archival descriptions in the National Archives Catalog provide the public with free, online access to records so that researchers can search NARA holdings remotely, discover relevant records, and quickly retrieve records when they visit NARA public research rooms. NARA measures performance as the number of records series or groups referenced by websites, apps, or other digital tools that draw from the Catalog, as a percentage of the total records and artifacts described in the Catalog at the start of the fiscal year.

<b>Performance Measure</b>	<b>Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent of our holdings referenced in finding aids that draw from the Catalog	<i>Target</i>	—	—	—	—	1%	5%
	<i>Actual</i>				Baseline		

*Performance summary:* In FY 2018 and FY 2019, NARA will: (1) enhance the Catalog's Application Programming Interface (API) to support development of dynamic finding aids; (2) develop templates for Catalog-based finding aids for use by NARA staff on archives.gov; and (3) develop user-generated finding aid functionality in the Catalog.

**Connect with Customers**

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

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

*Description of the measure:* Customer satisfaction is achieved by providing consistent, reliable, and reputable service that increases customer engagement and encourages customers to seek NARA as their preferred destination for authentic sources of information. NARA measures customer satisfaction as the weighted average of timeliness measures for each of the following customer request types: Written reference requests from the public and from other Federal agencies, items furnished in public research rooms, copies of military separation documents (DD-214), and Freedom of Information Act (FOIA) requests.

<b>Performance Measure</b>	<b>Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent of customer requests ready within the promised time	<i>Target</i>	—	—	93%	93%	93%	93%
	<i>Actual</i>	—	—	95%	92%		

*Performance summary:* NARA's is committed to provide excellent reference services and timely responses to customer requests. In FY 2018 and FY 2019, NARA will revise customer service standards to ensure efficient and timely responses. NARA plans to make some refinements to the process of answering inquiries which will increase the speed and accuracy of the response. NARA will continue to ensure customer satisfaction by providing one-hour turnaround time to in-person requests and responding to written reference requests within ten days.

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

*Description of measure:* NARA engages with stakeholders through 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>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent satisfaction from participants in public engagement activities	<i>Target</i>	—	—	90%	90%	90%	90%
	<i>Actual</i>	—	—	—	Baseline		

*Performance summary:* Throughout FY 2018 and FY 2019, NARA will continue to deliver programs across the agency driven by common civic literacy and engagement goals. NARA will monitor participation levels in agency public and education programs—both physical and online—to ensure that efforts to engage the public are effective.

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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Cumulative number of records enhanced by citizen contributors	<i>Target</i>	—	—	—	—	100K	200K
	<i>Actual</i>	—	—	—	Baseline		

*Performance summary:* In FY 2018 and FY 2019, NARA will enhance the National Archives Catalog to improve the user experience for citizen archivists, and expand its outreach and marketing efforts for the citizen archivist program. NARA will enhance the Catalog API to make it easier for third parties to develop Catalog-based tools to enhance records.

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

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

*Performance summary:* NARA is still developing milestones and targets for this measure.

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

*Maximize NARA’s Value to the Nation* recognizes that public access to government information creates measurable economic value, which adds to the enduring cultural and historical value of our records. We are reforming and modernizing records management policies and practices across the Federal government to support the transition to digital government. NARA will drive public and commercial re-use of historical government data and records to create measurable economic activity.

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

*Description of measure:* NARA conducts on-site inspections of other agencies’ records management practices to help those agencies strengthen their recordkeeping programs and ensure that records are being managed appropriately. NARA conducts inspections according to established procedures, publishes findings and recommendations in written reports, and requires agencies to respond with corrective actions that are tracked through completion. NARA measures performance as the count of inspection reports published in a fiscal year, as a percentage of the total number of agencies required to complete the annual Records Management Self-Assessment (RMSA) survey. In FY 2017, 260 agencies received the RMSA.

<b>Performance Measure</b>	<b>Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent of Federal agencies inspected	<i>Target</i>	—	—	—	—	10%	10%
	<i>Actual</i>	—	—	—	3%*		

*Performance summary:* In FY 2018, NARA anticipates completing 13 formal agency inspections. In FY 2019, NARA will begin conducting electronic information system audits of agency email and electronic records systems, which will contribute to the 10 percent target.

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

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

*Performance summary:* NARA is still developing milestones and targets for this measure.



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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Number of platforms that use NARA records as part of their business model	<i>Target</i>	—	—	—	—	4	5
	<i>Actual</i>	—	—	—	Baseline		

*Performance summary:* Throughout FY 2018 and FY 2019, NARA will enhance the National Archives Catalog Application Programming Interface (API), provide better documentation of the Catalog API to the public, and promote the Catalog API in the developer, researcher, and academic communities.

**Build our Future through our People**

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

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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent of staff who participated in a leadership development activity	<i>Target</i>	—	—	—	Baseline	35%	37.5%
	<i>Actual</i>	—	—	—	32.5%		

*Performance summary:* In FY 2018, NARA will deploy a completely redesigned introductory management training and develop new manager refresher training for deployment in FY 2019. NARA will also leverage external vendors to provide leadership training for more of our employees. We will also offer cross training opportunities at headquarters and our field locations to provide employees with experiential training and actively apply what they learn in the classroom.

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

*Description of Measure:* NARA must have an effective hiring process in order to reach the best talent in a competitive market. NARA measures performance using the 80-day “time to recruit” model offered by the Office of Personnel Management. NARA measures performance as the percent of recruitment actions completed within 80 days from the hiring manager’s initial recruitment request to the employee’s formal offer of employment with the agency.

<b>Performance Measure</b>	<b>Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent of NARA positions filled within 80 days	<i>Target</i>	—	—	45%	55%	65%	75%
	<i>Actual</i>	42%	45%	53%	40%		

*Performance summary:* NARA has identified a series of process improvement and corrective actions that will improve the timeliness, accuracy, and transparency of our HR transactional processes. We will improve tracking of hiring actions to ensure accountability and address bottlenecks so we can recruit and hire the best talent as quickly and effectively as possible.

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

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

<b>Performance Measure</b>	<b>Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent of NARA positions with career paths	<i>Target</i>	—	—	—	35%	48%	90%
	<i>Actual</i>	—	—	15%	36%		

*Performance summary:* In FY 2018, NARA will implement changes in its personnel management system that permit position management. NARA will populate the system data from approved staffing plans articulating the number and type of positions and grade levels available. NARA will be able to more effectively track, manage, and report newly-defined positions and organizational structures as new career paths are developed.

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

*Description of measure:* NARA must ensure employees are prepared to transition to a fully electronic environment and are prepared to support other agencies with new tools, guidance, and expertise. NARA must provide a robust career development program consisting of training and experiential learning that allows all employees to identify and plan for career growth opportunities and develop competencies. NARA is currently developing new metrics that quantify training program outcomes; until those metrics are developed we will measure performance through “milestone” goals. NARA milestone goals for this objective are currently under development

*Performance summary:* NARA is still developing milestones and targets for this measure.

**FY 2017 Discontinued Measures (Performance measures aligned to NARA’s FY 2014 – 2018 Strategic Plan)**

The following performance measures from NARA’s FY 2017 Annual Performance Plan are being discontinued as targeted performance measures. Those performance measures from FY 2017 that align with the objectives in NARA’s new FY 2018 – 2022 Strategic Plan are carried forward in the goals and targets for FY 2018 and FY 2019.

Make Access Happen

<b>Performance Measure</b>	<b>Year</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>
Percent of artifacts described in the National Archives Catalog	<i>Target</i>	80%	85%	95%	90%	95%	95%
	<i>Actual</i>	88%	95%	96%	97%	96%	99%
Percent of electronic archival holdings described in the National Archives Catalog	<i>Target</i>	80%	85%	85%	90%	95%	95%
	<i>Actual</i>	100%	100%	100%	100%	100%	100%
Percent of traditional archival holdings described in the National Archives Catalog	<i>Target</i>	80%	85%	85%	90%	95%	95%
	<i>Actual</i>	81%	83%	86%	90%	97%	97%

*Performance Summary:* NARA met the FY 2017 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. Although no longer reported externally, NARA’s goal is to maintain a 95 percent description rate.

Connect with Customers (several of these measures are no longer reported individually but are aggregated in NARA’s public engagement measure).

Maximize NARA's Value to the Nation

<b>Performance Measure</b>	<b>Year</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>
Percent of agencies with "low risk" RMSA ratings	<i>Target</i>	—	—	>20%	>29%	>34%	>36%
	<i>Actual</i>	10%	20%	29%	34%	36%	45%

*Performance Summary:* Records management programs have shown steady improvement in compliance with Federal records management statutes and regulation. These programs continue to improve through increased engagement in information processes and decisions, enhanced policies and directives, and increased awareness. More than 95 percent of agencies are aiming to meet the December 31, 2019 target to manage all permanent electronic records in electronic format while the number of agencies whose records management programs are at high risk continues to decline. As NARA maintains an ongoing dialogue and engagement with agencies, we expect these achievements to continue.

Build our Future through our People

<b>Performance Measure</b>	<b>Year</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>
Percent of learning events receiving satisfactory rating from participants	<i>Target</i>	—	—	—	90%	90%	90%
	<i>Actual</i>	—	—	—	97%	96%	95%
NARA FEVS scores on questions related to internal communications	<i>Target</i>	—	—	>49%	>50%	>50%	>50%
	<i>Actual</i>	49%	50%	50%	55%	61%	64%
Communication effectiveness score from internal Customer Satisfaction Survey	<i>Target</i>	—	—	—	Baseline	67%	70%
	<i>Actual</i>	—	61%	64%	69%	56%	—*
Percent positive responses to FEVS questions related to diversity and inclusion (New IQ)	<i>Target</i>	—	—	—	56%	>56%	>56%
	<i>Actual</i>	47%	45%	46%	51%	55%	60%
Positive responses to FEVS question about opportunities to get a better job	<i>Target</i>	—	—	—	24%	>29%	>29%
	<i>Actual</i>	25%	24%	24%	29%	36%	35%

\*NARA's communication effectiveness is captured in an Internal Services Satisfaction Survey report. Values reported here reflect changes in the survey questions creating a variance in the data.

*Performance Summary:* NARA continues to seek feedback from its staff through the federal Employee Viewpoint Survey (FEVS) and the Internal Services Satisfaction Survey (ISSS). While results indicate an improvement in diversity and inclusion, and internal communications, we experienced a slight decline in responses to questions on employees' perceptions on opportunities to get a better job.

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. In NARA's 2018 – 2022 Strategic Plan, we set out specific goals to develop career paths and provide employees with a line of sight for growth opportunities.

## 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).

### Office of the Chief Records Officer Outreach Activities (FY 2017)

NARA conducted approximately 79 briefings and presentations on Federal record keeping during the fiscal year. Audiences included Federal agency officials, professional organizations, federal records managers, members of the press, and foreign archivists. Outreach activities were mainly conducted in the Washington, DC area but some were held in various locations throughout the country. The following are a few of the notable outreach activities during the year.

The first SAORM (Senior Agency Officials for Records Management) meeting of FY 2017 was held in December 2016.. More than 145 SAORMs and their accompanying agency records officers (ROs) registered for the event. The Archivist of the United States gave opening remarks noting the ongoing importance of records management. Key NARA staff held a "rapid fire" panel session covering records management policies, electronic records management line of business (LoB), records management annual reporting, newly issued *Records Management Training Bulletin*, and the impact of the Administration's transition. The main themes of the meeting were that records management does not stop with the full implementation of the *Managing Government Records Directive (OMB Memorandum M-12-18)* or with the change of administration. The work of records management requires an ongoing commitment from the SAORMs, as well as OMB and NARA. Technologies will evolve and systems will improve, and as they do, SAORMs and agencies must ensure records management is an integral part of that change and growth.

The second SAORM meeting of FY 2017 was held in April 2017. More than 100 SAORMs and agency records officers (ROs) attended. In his opening remarks, the Archivist of the United States thanked NARA staff and SAORMs for their work and encouraged everyone attending to continue their records management efforts, especially focusing on email and electronic records. A video, "[records management for political appointees](#)," was shown that emphasized the message that SAORMs need to convey to new Administration officials. Two panel discussions followed. The first panel addressed a variety of topics including records management as an information governance strategy, the legal foundations of records management, and the preliminary results of agency reporting. In the second panel discussion Justice Department officials shared their strategy to modernize records management, including strategic plans, approaches, and technologies.

NARA personnel also met with newly appointed SAORMs and records officers (ROs) from Federal Departments and agencies in small-group settings to discuss the records management responsibilities of new political appointees, the resources available from NARA to support them, and current events and changing technologies that presented challenges for Federal records management.

As part of a new initiative, the Federal Electronic Records Management Initiative (FERMI), NARA staff are working with partners in the General Services Administration (GSA) to explore ways to make it easier for Federal agencies to obtain electronic records management solutions and services. One approach involved development of a new special item number (SIN) created just for electronic records management. In April, NARA staff participated in GSA's Schedule 36 Industry Day in Philadelphia to talk about NARA efforts to update records management SINs. Approximately 20 vendors attended the session. Collaboration with GSA resulted in the release of a new Schedule 36 SIN 51 600 to help Federal agencies identify systems and vendors that meet NARA's requirements for management of electronic records.

### **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.

The deadline, established in M-12-18, for agencies to manage all email in an accessible format was December 31, 2016. Seventy-nine percent of agencies report having met this goal, with the remaining 21 percent reporting significant progress towards meeting the goal by the end of 2017. We are continuing to help all agencies meet this, and all goals of M-12-18, through guidance, engagement, and oversight.

Other selected milestones that NARA reached in records management in FY 2017 include:

Release of *SAORM Bulletin* (September 2017). The Bulletin clarifies the roles and responsibilities of the pivotal SAORM position and consolidates existing guidance into one source.

Release of *Universal Electronic Records Management (ERM) Requirements* (August 2017). Agencies can use the Universal ERM requirements as a starting point when writing a Statement of Work or Performance Work Statement for ERM tools or services. Records officers can share these requirements with their procurement and IT departments as a basis for work on specific requirements for agency systems. These requirements are also being leveraged by GSA to facilitate improvements in the acquisition process.

Release of *Agency Records Management Training Bulletin* (December 2016). The Bulletin specifies how often agency records management training must be administered, who must complete the training, and identifies mandatory content areas. The Bulletin provides promising practices intended to address the learning needs of personnel based on their position, role or responsibility.



Update of *Records Management Contract Language* (March 2017). This update reflects changes in the way the Government creates and manages records and current legal obligations.

## Records Scheduling and Appraisal

*Capstone Approach* — In FY 2017, NARA approved 98 disposition requests for email managed under a Capstone approach, bringing the total to 104. 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. An approved disposition authority is a critical component to successfully managing email in a Federal agency.

*Records Scheduling Backlog Project* — NARA has greatly reduced its backlog of schedules (those that have been submitted more than two years prior). The current number of backlog schedules is down to 39 at the start of this fiscal year. This is approximately the same number as last year, despite the drop in staffing levels. NARA will continue to put a priority on reducing the number of backlog schedules.

*Other General Records Schedules* — NARA issued two GRS transmittals: GRS Transmittal 27, which included five new GRS, and new or updated items in four existing GRS; and GRS Transmittal 28, which included nine new GRS, and a new item added to one existing GRS. The transmittal also included general FAQs, schedule specific FAQs, and an implementation guide. NARA's General Records Schedules Team is scheduled to complete its comprehensive plan to overhaul the GRS by December 2017 as required in the *Managing Government Records Directive*.

## Records Management Oversight and Reporting

*Federal Agency Records Management (FARM) 2016 Annual Report* – This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA. In 2017, NARA required three related but separate submissions: a Senior Agency Official for Records Management (SAORM) Report, a Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA) covering activities in 2016. The report is posted to: <https://www.archives.gov/records-mgmt/resources/self-assessment.html>.

- Senior Agency Official for Records Management (SAORM) Report – This submission included responses from high-level officials about the progress of their agency or agencies towards the targets and requirements in the Managing Government Records Directive (M-12-18), jointly issued by the Office of Management and Budget (OMB) and the National Archives and Records Administration (NARA) on August 24, 2012. For individual reports see: <https://www.archives.gov/records-mgmt/agency/sao-reporting-2016.html>.

- Federal Email Management Report – This submission, new for 2016, required agency records officers to assess their individual agency’s email management using a maturity model template based on the criteria NARA published in April 2016. For individual reports see: <https://www.archives.gov/records-mgmt/email-management/email-management-reports-2016>.
- Annual Records Management Self-Assessment (RMSA) – Agency records officers provided an evaluation of their individual agency’s compliance with Federal records management statutes, regulations and program functions. This report has been required since 2010. Individual scores are included in the report appendices.

*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 2017, NARA completed inspections of the Departments of Agriculture, Commerce, Homeland Security, Interior, Labor and Transportation. (NARA’s complete inspection reports for these and previous inspections are available at: <http://www.archives.gov/records-mgmt/resources/inspections.html>). NARA also started in late 2017 inspections at three Department of Defense components: Defense Logistics Agency, Defense Technical Information Center, and the National Guard Bureau to be completed in 2018.

Department Records Management Program Series – In FY 2015 NARA began a series of inspections of the records management programs within Departments. NARA is interested in how well Departmental records management programs operate and incorporate records management coordination into organizational business lines and culture. In this series, NARA examines how the Departmental programs work with those of the component agencies. As of FY 2017 NARA completed inspections of eight Departments (Departments of Agriculture, Commerce, Energy, Homeland Security, Interior, Labor, Treasury, and Veterans Affairs). Inspections of the Departments of Justice and Health and Human Services will be held in FY 2018. NARA will also conduct inspections of Departments that do not have component agencies (Departments of Education and Housing and Urban Development) in FY 2018.

- Department of Agriculture –NARA examined how the USDA Department-level records management program communicates and cooperates with the programs of the operational agencies and support components within the Department. The Department records officer has implemented enterprise-wide records management practices that support the records management program of 17 agencies and 18 Departmental offices which NARA was interested in examining.
- Department of Commerce –NARA examined how the DOC Department-level records management program communicates and cooperates with the programs of the bureaus, offices, and component agencies within the Department. 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. NARA was particularly interested in DHS' use of a maturity model to evaluate the records management programs. NARA was also interested in how DHS, which was created from various entities that were either independent agencies or components of other Departments, brought these entities together.

- Department of the Interior –NARA examined how the DOI Department level records management program communicates and cooperates with the programs of the bureaus, offices, and component agencies within the Department. NARA was also interested in the progress DOI has made in establishing a Department-wide central records management program including an electronic records management system for email and other electronic records that they have been working on since 2012.
- Department of Labor NARA examined how the DOL Department-level records management program communicates and cooperates with the programs of the operational agencies and support components within the Department. The DOL records management program is centralized with the Department Records Officer providing policy, guidance and procedural support to 24 records management programs. NARA was interested in examining how well this approach is working.
- Department of Transportation –NARA examined how the DOT Department-level records management program communicates and cooperates with the programs of the operational agencies and support components within the Department. The Department has implemented enterprise-wide records management practices that support the records management program of nine administrations, the Office of the Secretary, and other administrative offices which NARA was interested in examining.

Department of Defense Series – Due to the size of DOD it is necessary for NARA to have a multi-year inspection series. This series focuses on records management program policies, electronic records management, and permanent records. In the third and fourth quarters of FY 2017 NARA began this series with the Defense Logistics Agency (DLA), the Defense Technical Information Center (DTIC), and the National Guard Bureau. These inspections will be completed in FY 2018.

*Monitoring and follow-up* - In response to inspections, NARA works with agencies to prepare corrective action plans with measurable action items and milestones. NARA monitors progress via agency submitted progress reports until all actions are completed. NARA is currently monitoring 15 plans of corrective actions with 197 items. Of these, 115 items are currently open, 34 items pending closure by early 2018, and 48 items were closed. Additionally, the plan of corrective action for the Office of the Secretary of Defense inspection conducted in 2010 was officially closed with all action items complete.

## **Records Management Training**

In FY 2017, NARA conducted 229 courses, including 50 online sessions, and trained over 4,500 individuals in records management policy and practices. NARA's Records Management Training program awarded 550 *Certificates in Federal Records Management Training*. Courses and trainees declined approximately 20 percent from FY 2016 in part due to the budget climate in Federal agencies. Budget constraints led to cancellations of the majority of courses scheduled in the field due to low registration.

Approximately 25 percent of the courses were requested by agencies including the Centers for Disease Control, Department of the Army, Department of Energy, Department of the Navy, Department of the Treasury, Department of Veterans Affairs, Federal Bureau of Investigation, National Aeronautics and Space Administration and the National Credit Union Administration. NARA completed the development and implementation of a new asynchronous course, *Sustainable Formats and Permanent Electronic Records*.

FY 2017 program modernization efforts included 1) implementing a new learning management system that facilitates automated payment processing; 2) completing the design of level one courses in the new three-tiered curriculum; 3) completing tasks analysis for the second tier of the curriculum; and 4) developing a face-to-face *Records Management for All Hands* course that agencies can implement to comply with the training requirements in *NARA Bulletin 2017-01*.

## **Alleged Unauthorized Disposition of Federal Records**

Under 44 U.S.C. 3106 and 36 CFR 1230 Federal agencies are required to notify NARA of any alleged unauthorized disposition of the agency's records. NARA also receives notifications from other sources such as the news media and private citizens. NARA establishes a case to track each allegation and communicates with the agency until the issue is resolved.

The Office of the Chief Records Officer for the U.S. Government has added two new web pages to [Archives.gov](http://Archives.gov) listing all open and closed Federal agency unauthorized disposition cases from October 1, 2016 to present. This information was previously made public in NARA's Annual Performance Reports that listed cases by fiscal year.

To support transparency and open government, the following pages are now available online:

- [FY 2018 Open Cases - Unauthorized Disposition of Federal Records](#). This page includes all open cases by fiscal year and any cases that close in FY 2018.
- [FY 2017 Closed Cases - Unauthorized Disposition of Federal Records](#). This page includes all unauthorized disposition cases that closed in FY 2017. For information on cases closed prior to FY 2017, see the [Annual Performance and Accountability Report](#) for the desired fiscal year.

There were 25 open cases at the end of FY 2017 and 30 cases that were closed in FY 2017.

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

**Proposed Legislative Change**

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

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

**Red-line and Section-by-Section Analysis**

Provision	Analysis
<p>§ 2107. Acceptance of records for historical preservation</p> <p>(a) In General.—When it appears to the Archivist to be in the public interest, the Archivist may—</p> <p>(2) direct and effect the transfer of records of a Federal agency determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States Government to the National Archives of the United States, as soon as practicable, and at a time mutually agreed upon by the Archivist and the head of that Federal agency not later than thirty years after such records were created or received by that agency, unless the Archivist determines, after consulting with the head of such agency, that such records must be retained in the custody of such agency for use in the conduct of the regular business of the agency;</p>	<p>This change would permit the Archivist of the United States to unilaterally take legal custody of <i>permanent records</i> that are past their scheduled disposition date but have not been voluntarily transferred to NARA by the originating agency.</p> <p>NARA currently stores approximately 28 million cubic feet of other agencies' records in the Federal Records Centers Program. Approximately 2.2 million cubic feet are either past their scheduled disposition date or not scheduled at all. If NARA had the authority to unilaterally adjudicate those records (including transferring them to NARA's legal custody), customer Federal agencies could save as much as \$4.4 million per year.</p>
<p>§ 2904. General responsibilities for records management</p> <p>(d) The Archivist shall promulgate regulations requiring all Federal agencies to transfer all records to the National Archives of the United States in digital or electronic form to the greatest extent possible.</p>	<p>This change would support the transition to fully digital government by directing the Archivist of the United States to establish regulations requiring the transfer of <i>all</i> records to the National Archives in digital or electronic form, to the fullest extent possible.</p>

Provision	Analysis
<p>§ 3303a. Examination by Archivist of lists and schedules of records lacking preservation value; disposal of records</p> <p>(e) The Archivist may approve and effect the disposal of records that are in the Archivist's legal custody, provided that records that had been in the custody of another existing agency may not be disposed of without advance notice to the head of the agency.</p>	<p>This change would permit the Archivist of the United States to unilaterally dispose of <i>archival records</i> that no longer have historical value. Because NARA must provide for the continued storage and maintenance of these records, agencies have little incentive to concur in NARA disposal requests. As a result, NARA is currently spending resources to store records in our legal custody that we would otherwise dispose of.</p> <p>With the authority to unilaterally dispose of archival records, NARA could free up additional storage space and avoid future costs necessary to acquire new storage space for newly transferred records.</p>
<p>§ 3308. Disposal of similar records where prior disposal was authorized</p> <p>When it appears to the Archivist that an agency has in its custody, or is accumulating, records of the same form or character as those of the same agency previously authorized to be disposed of, he may direct the head of the agency to dispose of the records, after they have been in existence a specified period of time, in accordance with regulations promulgated under section 3302 of this title and without listing or scheduling them.</p>	<p>This change would permit the Archivist of the United States to direct agencies to dispose of <i>temporary records</i> that are past their scheduled disposition date and <i>unscheduled records</i> that would be temporary if they had been appropriately scheduled.</p> <p>NARA currently stores approximately 28 million cubic feet of other agencies' records in the Federal Records Centers Program. Approximately 2.2 million cubic feet are either past their scheduled disposition date or not scheduled at all. If NARA had the authority to unilaterally adjudicate those records (including by ordering their disposal), customer Federal agencies could save as much as \$4.4 million per year.</p>



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