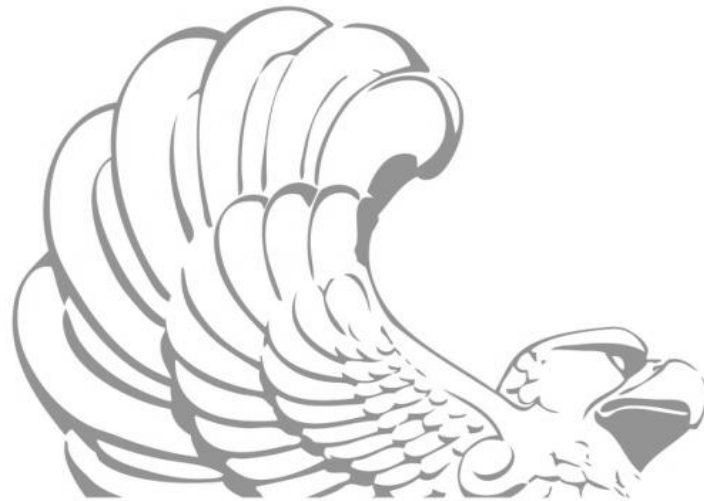

National Archives and Records Administration



NATIONAL
ARCHIVES

FY 2023

CONGRESSIONAL JUSTIFICATION

March 28, 2022

National Archives and Records Administration

SUMMARY of the FY 2023 REQUEST

Fiscal Year 2023 Budget Request

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Summary of the Request

The FY 2023 budget of the National Archives and Records Administration (NARA) requests \$449.5 million in discretionary appropriations. This is a decrease of \$27 million from the FY 2022 enacted level.* Within the aggregate request, NARA requests \$426.5 million for the Operating Expenses appropriation, \$6 million for the NARA Office of Inspector General, \$7.5 million for the Repairs and Restoration of NARA-owned buildings, and \$9.5 million for the National Historical Publications and Records Commission (NHPRC) Grants Program. NARA's request for Operating Expenses includes \$396.5 million in one-year funding and \$30 million to be available until expended.

Appropriations Request

(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2022 Omnibus Enacted Level | FY 2023 Request |
|-------------------------------------|-------------------|-----------------------------------|-------------------------------------|--------------------|
| Operating Expenses: | | | | |
| Annual appropriation | \$ 365,770 | \$ 365,770 | \$ 357,310 | \$ 396,520 |
| <u>No-year appropriation</u> | <u>\$ 11,230</u> | <u>\$ 11,230</u> | <u>\$ 31,000</u> | <u>\$ 30,000</u> |
| Net budget authority..... | \$ 377,000 | \$ 377,000 | \$ 388,310 | \$ 426,520 |
| Office of Inspector General | 4,823 | 4,823 | 4,968 | 5,980 |
| Repairs and Restoration | 9,500 | 9,500 | 71,000 | 7,500 |
| NHPRC Grants Program | 6,500 | 6,500 | 12,265 | 9,500 |
| Total Appropriations Request | \$ 397,823 | \$ 397,823 | \$ 476,543 | \$ 449,500 |

NARA's request for Operating Expenses is an increase of \$38 million and 104 FTE from the FY 2022 enacted level, which is the net of the following program increases and reductions:

- (1) An increase of \$8.2 million for pay and benefit increases. This includes the FY 2023 pay raise (4.6 percent) and annualization of the FY 2022 pay raise (2.7 percent).
- (2) An increase of \$2.2 million for inflationary increases to both NARA Facility Operations costs and other, non-labor costs.
- (3) A reduction of -\$5.3 million from the following program decreases:
 - -\$3.3 million in reductions from non-recurring one-time costs associated with Presidential Transition, the 1950 Census release, and the relocation of archival records due to lease cancellation.
 - -\$2 million for the non-recurring FY 2022 funding for the operating expense of the Civil Rights Cold Case Review Board due to significant available balances.

* The President's Budget primary documents use the FY 2022 Continuing Resolution as the current year column, instead of FY 2022 Enacted.

- (4) An increase of \$33 million and 104 FTE to provide for the following program increases:
- A program increase of \$20.2 million and 80 FTE to restore efforts to support NARA's Equitable Access to History initiative. This provides for 89 new employees necessary to digitize and make publicly available records that document the history of underserved and underrepresented communities.
 - A program increase of \$8.9 million and 13 FTE to improve the speed and efficiency of responding to special access requests. This provides for 25 new, permanent Federal employees to immediately respond to the records needs of Congressional oversight. Funding would also support technology investments to identify opportunities to expedite Congressional requests for access to records that are protected.
 - A program increase of \$2.9 million and 11 FTE to improve public access to Presidential Records. This provides 15 additional staff for the National Declassification Center to address the large volume of classified Presidential Records. This also provides for an additional seven staff for the Donald J. Trump Presidential records to handle basic processing of unclassified records, and to prepare for public access requests.
 - A program increase of \$1 million to prepare the Emancipation Proclamation for permanent, public display. This provides for a full assessment of the Emancipation Proclamation's condition and necessary steps to prepare this historically significant document for permanent display.

NARA's request for the Office of Inspector General appropriation is an increase of \$1 million, which is the net of pay and benefits adjustments, and an increase to maintain program integrity, oversight, and investigative efforts.

NARA's request for the Repairs and Restoration appropriation is a decrease of -\$63.5 million from the FY 2022 enacted level. This decrease is derived from non-recurring Congressionally directed spending and non-recurring one-time costs associated with the 250th Anniversary of the Founding of the United States.

NARA's request for the NHPRC Grants Program appropriation is a decrease of \$2.8 million, which is net of non-recurring Congressionally directed spending and restoring funding for a grants program to preserve and digitize the records of the creation of HBCUs.

NARA Mission, Vision, and Goals

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

MISSION

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

NARA’s mission is to provide equitable public access to Federal Government records in its custody and control. Public access to government records strengthens democracy by allowing all Americans of all backgrounds to claim their rights of citizenship, hold their government accountable, and understand their history so they can fully participate 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 many different American experiences.

We will collaborate with other Federal agencies, the private sector, the public, and diverse communities 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. We will lead the archival and information professions to ensure archives thrive in a digital world.

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.

Act with Integrity—Build trust by acting with honesty, fairness, and transparency.

Advance Diversity—Model diversity, inclusion, equity, and accessibility throughout the agency and expand participation by staff and customers of all backgrounds in NARA programs and decision-making.

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 deliver increasing volumes of records to the public online, using flexible tools and accessible resources that promote public participation.

Connect with Customers.—NARA will continuously engage with and learn from our customers: individuals, communities, 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 our efficiency, engagement, and equity.

Maximize NARA's Value to the Nation.—NARA will reform and modernize records management practices across the Federal government, advancing digital preservation of archival electronic records, and supporting the transition to digital government.

Build Our Future Through Our People.—NARA will provide all our employees with the learning and leadership opportunities necessary to support their career development, enable their successful transition to a digital environment, and thrive in an inclusive, supportive, and diverse work environment.

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.

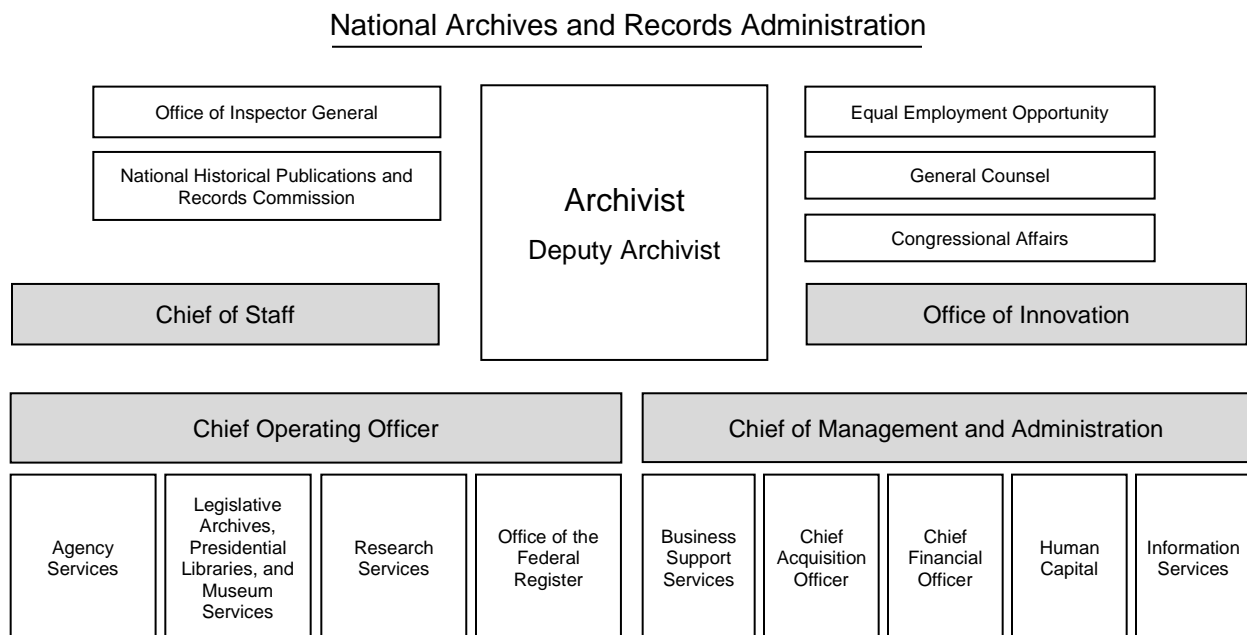
A Customer-Focused Organization.—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.

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

A Diverse and Inclusive NARA.—We will embrace diversity, equity, inclusion, and accessibility so that our workforce and our customers of all backgrounds are valued and supported.

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.



- *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 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|--|-------------------|-----------------------------------|--------------------|
| Operating Expenses: | | | |
| Legislative, Presidential, and Museum Services | \$ 116,532 | \$ 112,391 | \$ 118,128 |
| Citizen Services | 117,045 | 116,820 | 130,597 |
| Agency and Related Services | 80,569 | 81,114 | 88,357 |
| Facility Operations | 53,624 | 57,445 | 59,438 |
| Electronic Records Initiative | 9,230 | 9,230 | 30,000 |
| <i>Net budget authority</i> | \$ 377,000 | \$ 377,000 | \$ 426,520 |
| Office of Inspector General | 4,823 | 4,823 | 5,980 |
| Repairs and Restoration | 9,500 | 9,500 | 7,500 |
| NHPRC Grants Program | 6,500 | 6,500 | 9,500 |
| Total Appropriations Request | \$ 397,823 | \$ 397,823 | \$ 449,500 |
| Total Full-Time Equivalents (FTE) | 2,704.0 | 2,842.0 | 2,949.0 |

Total Discretionary Obligations by Object Classification
 (Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|--|-------------------|-----------------------------------|--------------------|
| 11.1 Full-time, permanent..... | \$ 139,108 | \$ 143,694 | \$ 168,082 |
| 11.3 Other than full-time permanent..... | 539 | 556 | 213 |
| 11.5 Other personnel compensation..... | 3,421 | 3,567 | 3,104 |
| 11.8 Special personal services payments..... | 39 | 40 | 43 |
| 12.1 Civilian personnel benefits..... | 51,490 | 53,063 | 56,022 |
| 13.0 Benefits for former personnel..... | 6 | 6 | 401 |
| 21.0 Travel and transportation of persons..... | 19 | 35 | 475 |
| 22.0 Transportation of things..... | 99 | 693 | 591 |
| 23.1 Rental payments to GSA..... | 8,194 | 8,930 | 8,930 |
| 23.2 Rental payments to others..... | 1,064 | 2,128 | 2,528 |
| 23.3 Communications, utilities, and misc. charges..... | 11,340 | 11,727 | 13,733 |
| 24.0 Printing and reproduction..... | 134 | 115 | 615 |
| 25.1 Advisory and assistance services..... | 17,310 | 7,743 | 8,708 |
| 25.2 Other services from non-Federal sources..... | 27,497 | 30,454 | 27,056 |
| 25.3 Other goods and services from Federal sources | 21,452 | 30,058 | 35,179 |
| 25.4 Operation and maintenance of facilities..... | 35,368 | 36,390 | 36,148 |
| 25.5 Research and development contracts..... | 0 | 0 | 93 |
| 25.7 Operation and maintenance of equipment..... | 50,045 | 43,051 | 44,095 |
| 26.0 Supplies and materials..... | 940 | 5,596 | 3,954 |
| 31.0 Equipment..... | 6,905 | 13,971 | 22,162 |
| 32.0 Land and structures..... | 4,770 | 43,255 | 9,359 |
| 41.0 Grants, subsidies, and contributions..... | 6,779 | 8,029 | 9,675 |
| 42.0 Insurance claims and indemnities..... | 40 | 0 | 0 |
| 43.0 Interest and dividends..... | 0 | 0 | 0 |
| 94.0 Financial transfers..... | 0 | 0 | 0 |
| 99.0 Obligations, appropriated..... | \$ 386,559 | \$ 443,101 | \$ 451,165 |
| <i>Subtotal, PC&B.....</i> | <i>194,603</i> | <i>200,926</i> | <i>227,865</i> |
| <i>Subtotal, non-labor.....</i> | <i>191,956</i> | <i>242,175</i> | <i>223,300</i> |

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

National Archives and Records Administration

OPERATING EXPENSES

Fiscal Year 2023 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, **\$426,520,000**, of which **\$30,000,000** shall remain available until expended for expenses necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

Program Description

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

- *Legislative Archives, Presidential Libraries, and Museum Services.*—This activity provides for the Center for Legislative Archives and the Presidential Materials Division, which provide records management services to Congress and the White House; the Presidential Libraries of fifteen former Presidents; and nationwide education, outreach, and exhibits programs, including the National Archives Museum in Washington, DC.
- *Citizen Services.*—This activity provides for public access to and engagement with permanently valuable Federal government records by the researcher community and the general public at public research rooms, online at www.archives.gov, and through innovative tools and technology to support collaboration with the public.
- *Agency and Related Services.*—This activity provides for the services NARA provides to other Federal agencies, including records management, appropriate declassification of classified national security information, oversight of the classification system and controlled, unclassified information, and improvements to the administration of the Freedom of Information Act by the Office of Government Information Services; the electronic records management activities of the Electronic Records Archives system; and publication of the Federal Register, U.S. Statutes-at-Large, and Presidential Papers.
- *Facility Operations.*—This activity provides for the operations and maintenance of NARA facilities.
- *Electronic Records Initiative.*— This activity provides for expenses necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

National Archives and Records Administration
 Operating Expenses

Explanation of Changes
 (Dollars in Thousands)

| | <u>FTE</u> | <u>Budget Authority</u> |
|--|----------------|-------------------------|
| FY 2022 Annualized Continuing Resolution Level | 1,439.0 | \$ 377,000 |
| FY 2022 Adjustments: | | |
| Non-recur FY 2021 Presidential Transition funding | 3.0 | -\$ 10,000 |
| Pay Adjustments and Inflationary increases in NARA Operations Costs | | 10,920 |
| Equitable Access to History initiative (Partial) | | 2,685 |
| Cloud-Based infrastructure and database costs | | 6,605 |
| 1950 Census Release | — | <u>1,100</u> |
| Total, Base Adjustments..... | 3.0 | \$ 11,310 |
| FY 2022 Omnibus Enacted Level: | 1,442.0 | \$ 388,310 |
| Maintaining Current Levels: | | |
| FY 2023 pay raise and annualization of FY 2022 pay raise | | \$ 8,208 |
| Inflationary increases in NARA Operations Costs | | <u>2,248</u> |
| Subtotal, Maintaining Current Levels..... | 0.0 | \$ 10,456 |
| Program Decreases: | | |
| Non-recur one-time costs associated with Presidential Transition and 1950 Census release | | -\$ 3,294 |
| Non-recur FY 2022 Civil Rights Cold Case Review Board | | <u>-2,000</u> |
| Subtotal, Program Decreases..... | 0.0 | -\$ 5,294 |
| Program Increases: | | |
| Restore FY 2022 Equitable Access to History initiative to meet digitization goals | 80.0 | \$ 20,224 |
| Improve the speed and efficiency of responding to special access requests | 13.0 | 8,877 |
| Improve public access to Presidential Records | 11.0 | 2,947 |
| Prepare the Emancipation Proclamation for permanent, public display | — | <u>1,000</u> |
| Subtotal, Program Increases | 104.0 | \$ 33,048 |
| Net Change | 104.0 | \$ 38,210 |
| FY 2023 Appropriation request | <u>1,546.0</u> | <u>426,520</u> |
| Net Change..... | 104.0 | \$ 38,210 |

The FY 2023 budget requests an appropriation of **\$426,520 thousand and 1,546 FTE** for Operating Expenses.

NARA's FY 2023 request reflects a net increase of \$38,210 thousand and 104 FTE from the FY 2022 enacted level, which is the result of the following changes:

- (1) An increase of **\$10,456 thousand** to maintain current levels:
 - \$8,208 thousand to provide for pay and benefit increases. This includes the FY 2023 pay raise (4.6 percent) and annualization of the FY 2022 pay raise (2.7 percent).
 - \$2,248 thousand for inflationary increases in operating costs.
- (2) A reduction of **-\$5,294 thousand** from the following program decreases.
 - -\$3,294 thousand in reductions from non-recurring one-time costs associated with Presidential Transition, the 1950 Census release, and the relocation of archival records due to lease cancellation.
 - -\$2,000 thousand for the non-recurring FY 2022 funding for the operating expenses of the Civil Rights Cold Case Review Board. NARA received no-year funding for this initiative in FY 2020, FY 2021, and FY 2022; however the Civil Rights Cold Case Review Board operations only started very recently as members were just appointed. NARA currently has sufficient balances to support the Board's important activities.
- (3) An increase of **\$33,048 thousand and 104 FTE** to provide for the following program increases:
 - A program increase of \$20,224 thousand and 80 FTE to restore efforts to support NARA's Equitable Access to History initiative. This provides for 89 new employees necessary to digitize and make publicly available records that document the history of underserved and underrepresented communities. Funds requested would allow NARA to digitize and provide public access to 90 million pages of digitized records each year.
 - A program increase of \$8,877 thousand and 13 FTE to improve the speed and efficiency of responding to special access requests. This provides for 25 new, permanent Federal employees to immediately respond to the records needs of Congressional oversight. Funding would also support technology investments to identify opportunities to expedite Congressional requests for access to records that are protected – through classification or Presidential privilege – from public release.
 - A program increase of \$2,947 thousand and 11 FTE to improve public access to Presidential Records. This provides 15 additional staff for the National Declassification Center to address the large volume of classified Presidential Records that are approaching their deadline for automatic declassification or pending mandatory declassification review. This also provides for an additional seven staff for the Donald J. Trump Presidential records to handle basic processing of unclassified records, and to prepare for public access requests.

- A program increase of \$1,000 thousand to prepare the Emancipation Proclamation for permanent, public display. The Emancipation Proclamation is an essential founding document of the United States. Unfortunately, due to the document's condition, the original, double-sided Emancipation Proclamation can only be displayed for a few days at a time under extremely low light to protect it from damage. This provides for a full assessment of the Emancipation Proclamation's condition and necessary steps to prepare this historically significant document for permanent display.

Equitable Access to History

NARA's budget request includes **\$20 million** and **80 FTE** in Operating Expenses to advance racial equity by digitizing, describing, and providing free, online access to U.S. Government records that document the history of underserved and underrepresented communities in America. NARA's request includes \$14 million for technology investments to support digitization and online digital access to significant volumes of archival records. An additional \$6 million provides for the recruitment of an additional 89 new, permanent Federal employees to perform the work of scanning, arranging, and describing records for online access. NARA would continue its partnership with Native American tribes, Historically Black Colleges and Universities (HBCU), and other institutions representing underrepresented communities to select records collections of the greatest impact, and to recruit diverse candidates and perspectives to fill vacancies requested in this initiative.

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

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

NARA requests funding to provide for the systematic digitization of records collections describing the history, rights, and struggles of underrepresented and underserved communities in the U.S. Funding requested in FY 2023 would continue the digitization of one of NARA's most prominent collections of U.S. Government records associated with Native American tribes, digitizing an estimated 90 million pages per year. Once complete, NARA would prioritize the digitization of other records collections that document the history of communities of color. Costs include scanners, cameras, quality control equipment, temporary storage for work-in-progress images, cloud-based storage costs for finished images, and transportation of records for digitization.

Special Access Requests

NARA's budget request includes **\$8.9 million and 13 FTE** in Operating Expenses to modernize NARA processes for responding to special access requests for Presidential records. NARA's request includes 25 new, permanent Federal employees to immediately respond to the records needs of Congressional oversight. Funding would also support technology investments to expedite Congressional requests for access to records that are protected – through classification or Presidential privilege – from public release. This includes enhancements to the Electronic Records Archive (ERA) 2.0 to add much needed functionality to the Executive Office of the President (EOP) production system to provide increased integration to manage the massive volumes of electronic records.

This investment would help NARA meet the immediate needs of Congress by increasing the speed and efficiency of NARA's response to special access requests for Presidential records. It would also allow NARA to process a substantially greater volume of records for eventual public release. The Presidential Records Act protects Presidential records from public release – including through Freedom of Information Act (FOIA) requests – for five years after the end of the president's term of office. NARA typically requires decades after the end of a Presidential Administration to review records, line-by-line, for eventual release to the public. We expect that the American public will expect immediate access to the records of the Trump Administration when they become publicly available in January 2026.

Amounts Available for Obligation
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|---|-------------------|-----------------------------------|--------------------|
| Unobligated balance, no-year appropriation..... | \$ 455 | \$ 454 | \$ 454 |
| Unobligated balance, no-year (GPO space)..... | \$ 8,622 | \$ 8,624 | \$ 0 |
| Unobligated balance, no-year (ERI)..... | \$ 21,750 | \$ 26,559 | \$ 0 |
| Unobligated balance, no-year (Civil Rights)..... | \$ 2,000 | \$ 3,945 | \$ 0 |
| Unobligated balance, no-year (CARES Act)..... | \$ 2,333 | \$ 0 | \$ 0 |
| Transfer in from trust fund accounts ¹ | \$ 490 | \$ 490 | \$ 490 |
| Discretionary authority: | | | |
| Annual appropriation..... | \$ 365,770 | \$ 365,770 | \$ 396,520 |
| No-year appropriation (ERI)..... | 9,230 | 9,230 | 30,000 |
| No-year appropriation (Civil Rights)..... | 2,000 | 2,000 | 0 |
| Total discretionary authority..... | \$ 377,000 | \$ 377,000 | \$ 426,520 |
| Reimbursable authority: | | | |
| New spending authority collected ² | \$ 329 | \$ 1,384 | \$ 1,000 |
| Change in uncollected payments..... | 0 | 0 | 0 |
| Subtotal, reimbursable authority..... | \$ 329 | \$ 1,384 | \$ 1,000 |
| Unobligated balance, expiring..... | -\$ 4,670 | \$ 0 | \$ 0 |
| Unobligated balance, available in future years..... | -\$ 39,582 | -\$ 454 | -\$ 454 |
| Unobligated balance, reimbursable..... | \$ 0 | \$ 0 | \$ 0 |
| Total obligations..... | \$ 368,727 | \$ 418,002 | \$ 428,010 |
| Obligations, annual appropriation..... | \$ 361,590 | \$ 366,260 | \$ 397,010 |
| Obligations, no-year (GPO space)..... | 0 | 8,624 | 0 |
| Obligations, no-year appropriation (ERI)..... | 4,421 | 35,789 | 30,000 |
| Obligations, no-year appropriation (Civil Rights)..... | 55 | 5,945 | 0 |
| Obligations, no-year appropriation (CARES Act)..... | 2,333 | 0 | 0 |
| Obligations, reimbursable..... | 329 | 1,384 | 1,000 |
| <i>Net outlays</i> | \$ 366,618 | \$ 377,486 | \$ 381,323 |

1/ NARA anticipates an additional \$490 thousand in transfers from the National Archives Trust Fund endowments for the operations and maintenance of certain Presidential Libraries. In accordance with 44 USC § 2112(g), the private Foundations for the Libraries of former Presidents George H.W. Bush, William Clinton, and George W. Bush have established (separate) endowments in the National Archives Trust Fund. Annual income from these endowments is transferred to NARA's Operating Expenses appropriation, to partially offset the costs of facility operations and maintenance at each respective Library.

2/ NARA anticipates providing reimbursable services to the National Archives Trust Fund (as authorized by 44 U.S.C. § 2302) in the amount of \$1,000 thousand and 22 FTE in FY 2023. Reimbursable services provide for the costs of reproducing archival documents for sale to the public and other, related projects.

National Archives and Records Administration
 Operating Expenses

Obligations by Object Classification
 (Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|---|-------------------|-----------------------------------|--------------------|
| 11.1 Full-time, permanent..... | \$ 136,205 | \$ 140,470 | \$ 164,232 |
| 11.3 Other than full-time permanent..... | 539 | 556 | 213 |
| 11.5 Other personnel compensation..... | 3,269 | 3,371 | 2,870 |
| 11.8 Special personal services payments..... | 39 | 40 | 43 |
| 12.1 Civilian personnel benefits..... | 50,302 | 51,877 | 54,606 |
| 13.0 Benefits for former personnel..... | 6 | 6 | 401 |
| 21.0 Travel and transportation of persons..... | 9 | 25 | 425 |
| 22.0 Transportation of things..... | 99 | 105 | 586 |
| 23.1 Rental payments to GSA..... | 8,194 | 8,930 | 8,930 |
| 23.2 Rental payments to others..... | 1,064 | 2,128 | 2,528 |
| 23.3 Communications, utilities, and misc. charges..... | 11,112 | 11,727 | 13,733 |
| 24.0 Printing and reproduction..... | 134 | 115 | 615 |
| 25.1 Advisory and assistance services..... | 15,928 | 7,603 | 8,368 |
| 25.2 Other services from non-Federal sources..... | 26,335 | 22,698 | 22,348 |
| 25.3 Other goods & services from Federal sources..... | 21,272 | 30,041 | 35,154 |
| 25.4 Operation and maintenance of facilities..... | 34,480 | 36,390 | 36,148 |
| 25.5 Research and development contracts..... | 0 | 0 | 93 |
| 25.7 Operation and maintenance of equipment..... | 48,138 | 41,641 | 33,760 |
| 26.0 Supplies and materials..... | 864 | 2,576 | 3,576 |
| 31.0 Equipment..... | 3,311 | 5,961 | 8,381 |
| 32.0 Land and structures..... | 250 | 0 | 0 |
| 42.0 Insurance claims and indemnities..... | 40 | 0 | 0 |
| 43.0 Interest and dividends..... | 0 | 0 | 0 |
| 94.0 Financial transfers..... | 0 | 0 | 0 |
| 99.0 Obligations, annual appropriation..... | \$ 361,590 | \$ 366,260 | \$ 397,010 |
| <i>Subtotal, PC&B.....</i> | <i>190,360</i> | <i>196,320</i> | <i>222,365</i> |
| <i>Subtotal, non-labor.....</i> | <i>171,230</i> | <i>169,940</i> | <i>174,645</i> |
| 99.0 Obligations, no-year (GPO space)..... | 0 | 8,624 | 0 |
| 99.0 Obligations, no-year appropriation (ERI)..... | 4,421 | 35,789 | 30,000 |
| 99.0 Obligations, no-year appropriation (Civil Rights)..... | 55 | 5,945 | 0 |
| 99.0 Obligations, no-year appropriation (CARES Act)..... | 2,333 | 0 | 0 |
| 99.0 Obligations, reimbursable..... | 329 | 1,384 | 1,000 |
| 99.0 Total obligations..... | \$ 368,728 | \$ 418,002 | \$ 428,010 |
| Full-Time Equivalents (FTE) Direct..... | 1,382.0 | 1,439.0 | 1,546.0 |
| Full-Time Equivalents (FTE) Reimbursable..... | 18.0 | 22.0 | 22.0 |

NARA Budget Activities

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

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

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

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

National Archives and Records Administration
 Operating Expenses

Obligations by Program Activity
 (Dollars in Thousands)

| | FY 2021 | | FY 2022 | | FY 2023 | |
|---|----------------|------------------|---------------------|------------------|----------------|------------------|
| | Actual | | Annualized CR Level | | Request | |
| | FTE | Dollars | FTE | Dollars | FTE | Dollars |
| 1. Legislative, Presidential, and Museum Services: | | | | | | |
| Presidential Libraries | 343.0 | \$94,896 | 348.0 | \$95,477 | 356.0 | \$97,602 |
| Legislative Archives, Presidential Materials, and Public Programs | <u>89.0</u> | <u>19,471</u> | <u>79.0</u> | <u>17,404</u> | <u>88.0</u> | <u>21,016</u> |
| Subtotal, LPM Services..... | 432.0 | \$114,367 | 427.0 | \$112,881 | 444.0 | \$118,618 |
| 2. Citizen Services: | | | | | | |
| Office of Innovation | 45.0 | \$10,479 | 59.0 | \$10,165 | 57.0 | \$11,800 |
| Research Services | 589.0 | 104,566 | 650.0 | 104,655 | 736.0 | 118,797 |
| Civil Rights (no-year) | <u>0.0</u> | <u>55</u> | <u>0.0</u> | <u>5,945</u> | <u>0.0</u> | <u>0</u> |
| Subtotal, Citizen Services..... | 634.0 | \$115,100 | 709.0 | \$120,765 | 793.0 | \$130,597 |
| 3. Agency and Related Services: | | | | | | |
| Agency Services | 226.0 | \$45,179 | 210.0 | \$45,902 | 217.0 | \$49,371 |
| Electronic Records Archives | 26.0 | 22,766 | 29.0 | 22,533 | 29.0 | 25,637 |
| Federal Register | <u>64.0</u> | <u>12,624</u> | <u>64.0</u> | <u>12,679</u> | <u>63.0</u> | <u>13,349</u> |
| Subtotal, Agency and Related..... | 316.0 | \$80,569 | 303.0 | \$81,114 | 309.0 | \$88,357 |
| 4. Facility Operations: | | | | | | |
| NARA Facility Operations | 0.0 | \$53,624 | 0.0 | \$57,445 | 0.0 | \$59,438 |
| GPO space improvements (no-year) | <u>0.0</u> | <u>0</u> | <u>0.0</u> | <u>8,624</u> | <u>0.0</u> | <u>0</u> |
| Subtotal, Facility Operations..... | 0.0 | \$53,624 | 0.0 | \$66,069 | 0.0 | \$59,438 |
| 5. Electronic Records Initiative (no-year) | | | | | | |
| | 0.0 | \$4,421 | 0.0 | \$35,789 | 0.0 | \$30,000 |
| Total, Annual Appropriation..... | 1,382.0 | \$363,605 | 1,439.0 | \$365,770 | 1,546.0 | \$397,010 |
| Total, No-year Appropriation..... | 0.0 | \$4,476 | 0.0 | \$50,358 | 0.0 | \$30,000 |

Legislative Archives, Presidential Libraries, and Museum Services

(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|--------------|-------------------|-----------------------------------|--------------------|
| LPM Services | \$ 114,367 | \$ 112,881 | \$ 118,618 |

NARA's FY 2023 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- \$68,134 thousand for the Presidential Libraries system, including \$29,999 thousand for the operations and maintenance of facilities; and
- \$17,629 thousand for: nationwide education, outreach, and exhibits programs; the Center for Legislative Archives, which provides records management services for Congress; and the Presidential Materials Division, which provides records management guidance and courtesy storage for the incumbent administration and oversees special access and declassification at the Presidential Libraries.

An additional \$32,854 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 2023 and future years:

- NARA has a significant backlog of unanswered Freedom of Information Act (FOIA) requests at Presidential Libraries covered by the Presidential Records Act (PRA). The PRA made Presidential records subject to disclosure through FOIA five years after the end of an administration, beginning with former President Reagan. NARA must review all Presidential papers page-by-page, to identify and redact national security and other restricted information, which is an extremely resource-intensive process. NARA has a FOIA backlog of an estimated 153 million pages at the George W. Bush Library in FY 2021. NARA is currently only able to process approximately 500,000 pages per year in response to FOIA requests for Presidential records.
- NARA is challenged to preserve electronic Presidential records. At the end of each Presidential administration, NARA accepts legal and physical custody of all Presidential records and must store and preserve those records in perpetuity. NARA receives Presidential records into the National Archives much earlier than Federal agency records; as a result, electronic Presidential records typically use modern file formats, a wider range of

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

LPM Services FY 2023 Budget Request

The FY 2023 budget request provides \$118,618 thousand for LPM Services, a net increase of \$5,736 thousand from the FY 2022 Annualized CR level, including:

- +\$6,798 thousand increase for personnel costs, including additional staff to support access to Presidential records;
- -\$4,045 thousand decrease for non-recurring costs; and
- +\$2,983 thousand for increases in allocated costs of management and administration, including information technology.

Citizen Services

(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|----------------------|-------------------|-----------------------------------|--------------------|
| Research Services | \$ 104,566 | \$ 104,655 | \$ 118,797 |
| Office of Innovation | 10,479 | 10,165 | 11,800 |
| Total | \$ 115,045 | \$ 114,820 | \$ 130,597 |

NARA's FY 2023 request for *Citizen Services* includes:

- \$74,755 thousand for the Research Services organization, for the preservation of permanently valuable Federal government records and for continued access to those records by the researcher community and the general public;
- \$7,425 thousand for the Office of Innovation, which leads NARA open government and digitization efforts, maintains NARA's online National Archives Catalog and provides innovative tools to enhance collaboration and engagement with the public.

An additional \$48,417 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

Research Services Strategic Direction

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

Management challenges and opportunities for FY 2023 and future years:

- NARA is approaching its maximum limits in archival storage capacity. NARA currently holds over 5.4 million cubic feet of archival Federal records, but anticipates that an additional 2.6 million cubic feet of permanently valuable, historical records will be transferred to Research Services over the next 15 years. Preserving records is essential to the successful accomplishment of NARA's mission.
- NARA stores permanently-valuable, archival records in a wide variety of formats. Special media records, such as photographs, audio, video, and motion picture films, are highly vulnerable to deterioration, and must be stored in specialized vaults where the temperature is kept at or below freezing. Archival special media records are also subject to format obsolescence. Many archival audio, video, and motion pictures were created in formats that no longer exist. In many cases, blank stock and playback equipment no longer exist to make copies of fragile and deteriorating records. NARA must digitize special media records before they deteriorate to the point where they can no longer be used.

Research Services FY 2023 Budget Request

The FY 2023 budget request provides \$118,797 thousand for Research Services, a net increase of \$14,142 thousand from the FY 2022 Annualized CR level, including:

- *+\$6,857 thousand increase for personnel costs, including additional personnel to support equitable access to history;*
- *-\$222 thousand decrease for non-recurring costs;*
- *+\$1,000 thousand increase for an initial assessment of the Emancipation Proclamation;*
- *+\$510 thousand increase to advance racial equity by digitizing records of underserved communities; and*
- *+\$5,997 thousand for increases in allocated costs of management and administration, including information technology.*

Office of Innovation Strategic Direction

The *Office of Innovation* leads NARA's open government efforts, and is responsible for digitizing records in traditional formats through in-house digitization labs and partnerships with private organizations that digitize NARA records at no cost to the Government. The Office of Innovation provides online public access to archival records through the National Archives

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

Management challenges and opportunities for FY 2023 and future years:

- There is a large and growing public demand for online access to government information and records. In FY 2021, archives.gov and other NARA websites realized over 53 million visits. NARA has contributed over 16.4 million digital copies of NARA records to DPLA, a collaborative effort between archives, libraries, and museums to create an online library and capture America's living history. Building NARA's online presence and collaborating with other organizations has allowed NARA to expand public access to historical government records far beyond what could be done with NARA's tools and resources alone.
- NARA has digitized more than 167 million pages of archival records and made them available online, through the National Archives Catalog. But simply posting records on a public website does not make them easy to discover or use for research. Many records are inadequately described and responsive records are often buried in pages of online search results. Researchers need to be able to quickly identify records that contain relevant information.

Office of Innovation FY 2023 Budget Request

The FY 2023 budget request provides \$11,800 thousand for the Office of Innovation, a net increase of \$1,635 thousand from the FY 2022 Annualized CR level, including:

- *+\$839 thousand increase in personnel costs;*
- *-\$233 thousand decrease for non-recurring costs; and*
- *+\$1,029 thousand from increases in allocated costs of management and administration, including information technology.*

Agency and Related Services
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|-----------------------------|-------------------|-----------------------------------|--------------------|
| Agency Services | \$ 45,179 | \$ 45,902 | \$ 49,371 |
| Electronic Records Archives | 22,766 | 22,533 | 25,637 |
| Federal Register | 12,624 | 12,679 | 13,349 |
| Total | \$ 80,569 | \$ 81,114 | \$ 88,357 |

NARA's FY 2023 request for *Agency and Related Services* includes:

- \$31,067 thousand for the Agency Services organization, including \$3,728 thousand for the Information Security Oversight Office, \$8,699 thousand for the National Declassification Center, and \$1,864 thousand for the Office of Government Information Services;
- \$25,637 thousand for the electronic records management activities of the Electronic Records Archives system; and
- \$8,400 thousand for the Office of the Federal Register.

An additional \$23,253 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

Agency Services Strategic Direction

The *Agency Services* organization leads NARA efforts to meet the records management needs of Federal agencies and represents the public's interest in the accountability and transparency of government records. Agency Services is the authoritative source for records management policy and guidance, records appraisal, and records management services to assist other agencies in appropriately managing their records. Agency Services provides leadership and guidance in safeguarding classified national security information and controlled unclassified information, and in the appropriate declassification and public release of this information. Agency Services promotes transparency by resolving disputes between Federal agencies and requestors, and identifying methods to improve FOIA processes and compliance.

Management challenges and opportunities for FY 2023 and future years:

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

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

Agency Services FY 2023 Budget Request

The FY 2023 budget request provides \$49,371 thousand for Agency Services, a net increase of \$3,469 thousand from the FY 2022 Annualized CR level, including:

- +\$2,332 thousand increase in personnel costs, including additional personnel to declassify Presidential records; and
- +\$1,137 thousand from increases 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 2023 and future years:

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

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

Electronic Records Archives FY 2023 Budget Request

The FY 2023 budget request provides \$25,637 thousand for the ERA system, a net increase of \$3,104 thousand from the FY 2022 Annualized CR level, including:

- *+\$1,528 thousand increase for personnel costs; and*
- *+\$1,576 thousand increase for ERA 2.0 Modernization*

Funds requested for ERA in FY 2023 will be used to provide for maintenance of hardware and software, and provide for a small staff and contractor support for networking, maintenance, IT Security, backup and recovery, and help desk functions for ERA. Upon completion, the ERA 2.0 project will leverage NARA's cloud services for greater scalability, in terms of storage and computer processing, to increase NARA's ability to preserve and provide access to greater amounts of digital materials.

Federal Register Strategic Direction

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

Management challenges and opportunities for FY 2023 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 2023 Budget Request

The FY 2023 budget request provides \$13,349 thousand for the Office of the Federal Register, a net increase of \$670 thousand from the FY 2022 Annualized CR level, including:

- +\$349 thousand increase in personnel costs; and
- +\$321 thousand from increases in allocated costs of management and administration, including information technology.

Facility Operations

(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|---------------------|-------------------|-----------------------------------|--------------------|
| Facility Operations | \$ 53,624 | \$ 57,445 | \$ 59,438 |

NARA's FY 2023 request for *Facility Operations* includes:

- \$59,438 thousand for rent, utilities, and other costs of operations and maintenance at three NARA-owned Federal buildings and 28 leased facilities.

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

Business Support Services Strategic Direction

Facility Operations provides the physical infrastructure necessary to preserve NARA's holdings for future generations. Archived documents and artifacts must be maintained in a controlled environment with carefully regulated temperature, humidity, and air quality. Facility Operations provides safe and sustainable facilities to store and protect permanently valuable NARA holdings and provide workspace 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 2023 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 236,000 cubic feet of newly-accessioned archival records over the past five years, an increase of 5 percent. NARA expects to receive an additional 2.6 million cubic feet of new archival records over the next 15 years.

- High-profile records thefts highlight the importance of a robust holdings protection program. NARA has improved employee training in holdings protection, instituted exit screenings to mitigate the risk of loss from internal sources, and is collaborating with partner institutions to share best practices in holdings protection. NARA must make additional investments in its physical infrastructure, including replacing aging closed circuit television (CCTV) monitoring systems and physical access control systems (PACS), in order to improve the safety and security of NARA records and occupants of NARA facilities.

Facility Operations FY 2023 Budget Request

The FY 2023 budget request provides \$59,438 thousand for Facility Operations, a net increase of \$1,993 thousand from the FY 2022 Annualized CR level, including the following:

- +\$1,993 thousand increase for inflationary adjustments at NARA facilities.

Electronic Records Initiative

(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|-------------------------------|-------------------|-----------------------------------|--------------------|
| Electronic Records Initiative | \$ 4,421 | \$ 9,230 | \$ 30,000 |

NARA's FY 2023 request for *Electronic Records Initiative* includes:

- \$30,000 thousand to support implementation of NARA's FY 2022-2026 Strategic Plan to support a transparent, inclusive, and fully digital government.

NARA's FY 2022-2026 Strategic Plan supports a transparent, inclusive, and fully digital government. Funds requested for Electronic Records Initiative in FY 2023 will provide for improvements to IT infrastructure, network modernization, cloud storage, contract digitization, furniture, and equipment and maintenance.

Electronic Records Initiative FY 2023 Budget Request

The FY 2023 budget request provides \$30,000 thousand for Electronic Records Initiative, a net increase of \$20,770 thousand from the FY 2022 Annualized CR level, including the following:

- +\$17,670 thousand for information technology and infrastructure, network modernization, and cloud-based storage; and
- +\$3,100 thousand for contract digitization, digitization equipment and maintenance, and furniture and equipment moves.

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National Archives and Records Administration

OFFICE OF INSPECTOR GENERAL

Fiscal Year 2023 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, **\$5,980,000.**

Program Description

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

Explanation of Changes
(Dollars in Thousands)

| | <u>FTE</u> | <u>Budget Authority</u> |
|---|-------------|-------------------------|
| FY 2022 Annualized Continuing Resolution level..... | 24.0 | \$ 4,823 |
| FY 2022 Adjustments: | | |
| Support mission and oversight efforts | <u>0.0</u> | <u>145</u> |
| Total, FY 2022 Adjustments..... | 24.0 | 145 |
| FY 2022 Omnibus Enacted Level | 24.0 | \$ 4,968 |
| | | |
| FY 2023 pay raise and annualization of FY 2022 pay raise | | \$ 176 |
| Maintain program integrity, oversight and investigative efforts | | <u>836</u> |
| Net Change | 0.0 | \$ 1,012 |
| | | |
| FY 2023 Appropriation request..... | <u>24.0</u> | <u>\$ 5,980</u> |
| Net Change..... | 0.0 | \$ 1,012 |

Summary of the Request

The FY 2023 budget requests \$5,980 thousand and 24 FTE for the Office of Inspector General (OIG), which is an increase of \$1,012 thousand from the FY 2022 enacted level. The request includes an increase of \$176 thousand to provide for pay adjustments and the FY 2023 pay raise (4.6 percent).

The OIG request includes \$836 thousand to support oversight work promoting the National Personnel Records Center (NPRC) and the Electronic Records Archive (ERA) program. The NPRC holds the service records of millions of our nation’s veterans and has been struggling to process veterans’ requests during the COVID-19 pandemic. Auditors will provide diverse viewpoints and expertise to support NARAs response efforts to reduce the backlog of veterans’ requests and better serve those who served our nation. The ERA program represents NARA’s future. The current form, ERA 2.0, will be tested by the influx of electronic records from implementing OMB/NARA Memo M-19-21 mandating agencies manage all permanent records in an electronic format with appropriate metadata by 2022. As this process ramps up it is critical for the OIG to expand capabilities and have auditors assigned to this rapidly growing area to harness data and technology.

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 \$40 thousand for training in FY 2023, to support the continuing professional development of OIG staff. The Government Accountability Office (GAO) states that all auditors should receive at least 80 hours of training every two years. Auditors require

training in areas such as: contract and grant auditing; performance management; fraud auditing, information technology (IT) security, project management, and network and applications management. Special agents are required to receive periodic refresher training in trial process; Federal criminal and civil legal updates; interviewing techniques and policy; law of arrest, search, and seizure; firearms use; physical conditioning; and defensive tactics. Management, legal, and administrative staff also require periodic training to remain proficient and effective at their jobs.

NARA's OIG supports the Interagency Council of Inspectors General on Integrity and Efficiency (CIGIE). NARA expects to contribute approximately \$19,734 in FY 2023.

Strategic Direction

The OIG is charged to promote economy, efficiency, and effectiveness agency-wide, while preventing and detecting fraud, waste, abuse, and mismanagement. They accomplish this through high-quality, objective audits, investigations, and other products. The OIG evaluates NARA's performance, makes recommendations for improvement, and follows up to ensure economical, efficient, and effective operations and compliance with current laws, policies, and regulations. Through this, the OIG works to ensure NARA safeguards and preserves Federal government records while providing the American people with access to the essential documentation of their rights and the actions of their government.

OIG activities cover all aspects of NARA operations at 44 facilities nationwide holding billions of historic records, hundreds of thousands of artifacts, and hundreds of terabytes of electronic records. This ever growing repository includes classified and highly sensitive records, military and civilian personnel records, Presidential records, and Presidential gifts. The OIG must audit increasingly complicated information technology systems, financial actions, and all of the programs and operations of the agency. OIG investigations encompass an incredible range of criminal activity including theft of our Nation's historical holdings, procurement fraud, espionage and unauthorized release of classified information, loss of personally identifiable information (PII), compromise of NARA IT systems, ethics violations, and other inappropriate conduct.

Amounts Available for Obligation
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|------------------------------------|-------------------|-----------------------------------|--------------------|
| Discretionary authority: | | | |
| Annual appropriation..... | \$ 4,823 | \$ 4,823 | \$ 5,980 |
| Unobligated balance, expiring..... | -\$ 23 | \$ 0 | \$ 0 |
| Total obligations..... | \$ 4,800 | \$ 4,823 | \$ 5,980 |
| <i>Net outlays</i> | \$ 4,638 | \$ 4,952 | \$ 5,776 |

Obligations by Object Classification
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|--|-------------------|-----------------------------------|--------------------|
| 11.1 Full-time, permanent..... | \$ 2,903 | \$ 3,224 | \$ 3,850 |
| 11.5 Other personnel compensation..... | 152 | 196 | 234 |
| 12.1 Civilian personnel benefits..... | 1,188 | 1,186 | 1,416 |
| 21.0 Travel and transportation of persons..... | 10 | 10 | 50 |
| 25.1 Advisory and assistance services..... | 306 | 140 | 340 |
| 25.2 Other services from non-Federal sources..... | 0 | 10 | 20 |
| 25.3 Other goods & services from Fed. sources..... | 125 | 17 | 25 |
| 25.4 Operation and maintenance of facilities..... | 0 | 0 | 0 |
| 25.5 Research and development contracts..... | 0 | 0 | 0 |
| 25.7 Operation and maintenance of equipment..... | 11 | 10 | 15 |
| 26.0 Supplies and materials..... | 55 | 20 | 10 |
| 31.0 Equipment..... | 50 | 10 | 20 |
| 99.0 Total obligations..... | \$ 4,800 | \$ 4,823 | \$ 5,980 |
| <i>Subtotal, PC&B.....</i> | 4,243 | 4,606 | 5,500 |
| <i>Subtotal, non-labor.....</i> | 557 | 217 | 480 |
| Full-Time Equivalents (FTE)..... | 19.0 | 24.0 | 24.0 |

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National Archives and Records Administration

REPAIRS AND RESTORATION

Fiscal Year 2023 Budget Request and

Capital Improvements Plan

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Appropriation Language

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

Program Description

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

Explanation of Changes
(Dollars in Thousands)

| | <u>Budget Authority</u> |
|---|-------------------------|
| FY 2022 Annualized Continuing Resolution level | \$ 9,500 |
| FY 2022 Adjustments: | |
| 250 th Anniversary of the founding of the United States | \$ 30,000 |
| Ulysses S. Grant Presidential Library | 20,000 |
| Harry S. Truman Library Institute | <u>11,500</u> |
| Total, FY 2022 Adjustments..... | \$ 61,500 |
| FY 2022 Omnibus Enacted Level | \$ 71,000 |
| Program Decreases: | |
| Non-recur Congressionally directed spending | -\$ 31,500 |
| Non-recur one time costs associated with the 250 th Anniversary of the founding of the United States | - 30,000 |
| Reductions to the FY 2022 enacted level | <u>-2,000</u> |
| Subtotal, Program Decreases..... | -\$ 63,500 |
| | |
| FY 2023 Appropriation request..... | \$ 7,500 |
| Net Change..... | -\$ 63,500 |

Summary of the Request

The FY 2023 budget requests \$7,500 thousand for Repairs and Restoration of NARA-owned Federal buildings, which is a net decrease of -\$63,500 thousand from the FY 2022 enacted level.

The FY 2023 budget request provides for repairs and alterations to the 18 Federal buildings that NARA owns, operates, and maintains: the National Archives buildings in Washington, DC, College Park, MD, and Atlanta, GA, and 15 Presidential Libraries and Museums across the United States.

NARA has two buildings listed on the National Register of Historic Places: the National Archives in Washington, DC, first occupied in 1935, and the Franklin D. Roosevelt Library in Hyde Park, NY, which was dedicated in 1941. All NARA buildings store and protect historically valuable and irreplaceable documents. Prior to the COVID-19 pandemic, over 4 million Americans visited NARA facilities each year to conduct research, attend conferences, view exhibits, and participate in educational programs.

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

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

Planning and preparation for commemorating the 250th Anniversary of the Declaration of Independence and the Nation's founding will continue in FY 2023. As home to the original Declaration of Independence, as well as the official records to the First and Second Continental Congress, the National Archives will serve as a focal point for celebrating the 250th anniversary. Funds provided will be used to renovate the National Archives Museum in Washington, DC, upgrade the public theater, and provide for a more secure entrance to the facility for public visitors. This public-private partnership will be funded by Congressional appropriations and private donations to the National Archives Foundation. The non-profit National Archives Foundation has already initiated exhibit and facility design using private funds. NARA will use funds appropriated in FY 2022 to provide for renovation and construction in the National Archives building in Washington, DC, necessary to support the museum redesign.

Amounts Available for Obligation
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|---|-------------------|-----------------------------------|--------------------|
| Unobligated balance carried forward..... | \$ 2,578 | \$ 5,531 | \$ 1,500 |
| Recoveries of prior-year obligations..... | \$ 35 | \$ 100 | \$ 100 |
| New discretionary authority: | | | |
| No-year appropriation..... | \$ 9,500 | \$ 9,500 | \$ 7,500 |
| New Discretionary authority..... | \$ 9,500 | \$ 9,500 | \$ 7,500 |
| Unobligated balance, available in future years..... | -\$ 5,531 | -\$ 1,500 | -\$ 600 |
| Total obligations..... | \$ 6,581 | \$ 13,631 | \$ 8,500 |
| <i>Net outlays</i> | <i>\$ 6,270</i> | <i>\$ 15,500</i> | <i>\$ 11,622</i> |

Obligations by Object Classification
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|---|-------------------|-----------------------------------|--------------------|
| 25.1 Advisory and assistance services..... | \$ 1,076 | \$ 0 | \$ 0 |
| 25.2 Other services..... | 92 | 0 | 0 |
| 25.3 Goods and services from Gov't accounts..... | 0 | 0 | 0 |
| 25.4 Operation and maintenance of facilities..... | 888 | 0 | 0 |
| 26.0 Supplies and materials..... | 21 | 0 | 0 |
| 31.0 Equipment..... | 0 | 0 | 0 |
| 32.0 Land and structures..... | 4,504 | 13,631 | 8,500 |
| 99.0 Total obligations..... | \$ 6,581 | \$ 13,631 | \$ 8,500 |

FY 2023 Capital Improvements Plan

The NARA Capital Improvement Plan (CIP) is a ten-year plan for capital projects to purchase, construct, or repair Federal buildings in NARA's custody and control. Including a project on the NARA CIP is not a commitment to funding and accomplishing the project.

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

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

Building Projects

Ronald Reagan Presidential Library and Museum in Simi Valley, CA. – The Reagan Library was originally constructed in 1991 and expanded in FY 2003 with the construction of the Presidential Learning Center. Many systems within the original construction reached the end of their 25-year service life in FY 2014 and require a major renovation. A large roof replacement and security upgrade were completed in FY 2015 and FY 2016. In FY 2020, NARA completed a major re-paving project with ADA compliance corrections. In FY 2021, additional roof repairs were completed. Design for the replacement of HVAC systems was completed in FY 2021, with construction anticipated in FY 2022 and FY 2023.

Jimmy Carter Presidential Library and Museum in Atlanta, GA. –The Carter Library has undergone several repair projects. In FY 2019, NARA repaired the main entrance to address ADA compliance deficiencies. In FY 2020, NARA completed the replacement of the boiler system. A design study began in FY 2021 for renovation of public and staff restrooms and will be completed in FY 2022.

John F. Kennedy Presidential Library and Museum in Boston, MA. –The Kennedy Library sits on the waterfront of Boston Harbor. Recent repairs have focused on addressing deterioration of the seawall and walkway surrounding the facility. In FY 2022, NARA will complete a facility level Climate Adaptation Assessment for the Library to identify potential future mitigations to protect this exposed facility from increasing impacts due to a changing climate.

Lyndon Baines Johnson Presidential Library and Museum in Austin, TX. –The Johnson Library has not undergone a major renovation since its dedication in May 1971. In FY 2020, NARA completed a two-year roof replacement project for the Library, along with repairs to the drainage system. In FY 2021, a design study was initiated to recommission the HVAC system. In FY2022, repairs and upgrades to the fire sprinkler system were initiated. Future work will include a replacement and upgrade of the building controls systems, replacement of joint

sealant in exterior stone, and repairs and upgrades to the buildings electrical distribution system.

National Archives at College Park, MD. –The roof is approaching the end of its anticipated life, and several areas require replacement. The original roof on the building was installed in 1992, during building construction. Most roofing systems have an anticipated service life of 15 to 20 years. NARA replaced several sections of roof between FY 2010 and FY 2017 and is planning to complete additional roof replacements between FY 2023 and FY 2024.

Most major building systems in the College Park facility have been well maintained. However, they have been required to maintain archival storage standards 24 hours a day, 365 days a year for nearly 25 years. Most major mechanical equipment has an anticipated service life of between 20 to 30 years of normal use. In FY 2020, NARA completed the refurbishing of two elevators, with 25 more to refurbish over the next several years. In FY 2021, the building automation system was replaced. NARA plans to repair to various mechanical systems, including repairs and upgrades to the Fire Protection system in FY 2022. A new Building Condition Report, held in abeyance during the pandemic, is currently underway to guide pending repair requirements.

Herbert Hoover Presidential Library and Museum in West Branch, IA. –The Hoover Library and Museum is planning to begin renovating its museum exhibit spaces in FY 2023. During renovations, additional building deficiencies are being considered. This includes the replacement of HVAC and electrical systems and components.

Harry S. Truman Presidential Library and Museum in Independence, MO. –The Truman Library requires a complete HVAC renovation to bring the entire building into compliance with the current Architectural Design Standards for Presidential Libraries. In FY 2019, design work began to replace three aging air handler units. In FY 2021, NARA replaced the museum air handling unit. Renovations to the auditorium and meeting rooms were also completed in FY 2021. The Library will update its Building Condition Report, once current renovations and upgrades are complete, to determine future repair requirements.

National Archives in Washington, DC. –This National Register historic property is currently under consideration for Landmark status. Significant upgrades to the exhibit and public program areas are anticipated in the coming years, leading to the 250th anniversary of the Declaration of Independence, on display at this location. In FY 2022, NARA plans to begin a study to examine critical HVAC systems, in particular those serving the Rotunda and Charter documents. Upgrades to the fire alarm systems will begin in FY 2022.

Dwight D. Eisenhower Presidential Library and Museum in Abilene, KS. —The Eisenhower Library complex needs a renovation to bring it up to the current Architectural Design Standards for Presidential Libraries (ADSPL). NARA’s most recent Building Condition Report on the Eisenhower Library complex found that the buildings are well constructed and maintained, but some buildings have yet to receive a major renovation (only partial renovations) since the Library opened in the mid-1960s. NARA has incrementally replaced building systems that were in the most urgent need of replacement. 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. In FY 2018, NARA completed asbestos removal and replaced/repaired air handler units. In FY 2021 NARA completed the replacement of the Building Automation System and initiated repairs on the Electrical Distribution System.

Gerald R. Ford Presidential Library in Ann Arbor, MI. –The Ford Library requires many repairs, several needing immediate attention. Repairs to electrical and HVAC systems are ongoing. In FY 2018 NARA completed a much-needed chiller replacement project and completed a design project in FY 2019 to replace aging air handler units and electrical motor control equipment. The replacement of an Air Handling Unit was completed in FY 2021 together with lighting upgrades and HVAC improvements to the server room. Access improvements to meet Americans with Disabilities Act (ADA) requirements are expected to be completed in FY 2022.

William J. Clinton Presidential Library and Museum in Little Rock, AR. –The Clinton Library will be twenty years old in FY 2023, and renovation work for building structure and systems is anticipated. In FY 2020, NARA began a boiler replacement project and expects to complete this project in FY 2023. Repairs to the exterior limestone began in FY 2022. An updated Building Condition Report will be initiated for the Clinton Library in FY 2022, which will guide future renovation work required as systems reach the end of their life expectancy.

George Bush Presidential Library and Museum in College Station, TX. –The George H. W. Bush Library is twenty years old and currently in relatively good condition. In FY 2018, the roof was replaced to stop water leaks and dehumidifiers were installed in the archival storage space. In FY 2021, NARA completed the repair of truck and vehicle barriers, and in FY 2022 began repairs to exterior stone joints.

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

Fiscal Year 2023 Budget Request

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Appropriation Language

For necessary expenses for allocations and grants for historical publications and records as authorized by 44 U.S.C. 2504, **\$9,500,000**, to remain available until expended.

Program Description

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

Explanation of Changes
(Dollars in Thousands)

| | <u>Budget Authority</u> |
|---|-------------------------|
| FY 2022 Annualized Continuing Resolution level | \$ 6,500 |
| FY 2022 Adjustments: | |
| FY 2022 grant initiatives | \$ 5,265 |
| Historically Black Colleges and Universities Grants Program | <u>500</u> |
| Total, FY 2022 Adjustments | \$ 5,765 |
| FY 2022 Omnibus Enacted Level | \$ 12,265 |
| Program Decreases: | |
| Non-recur Congressionally directed spending | -\$ 5,265 |
| Program Increases: | |
| HBCU Grants Program | \$ 2,500 |
| <hr/> | |
| FY 2023 Appropriation request | <u>9,500</u> |
| Net Change | -\$ 2,765 |

Summary of the Request

The FY 2023 budget requests \$9,500 thousand to support the mission and projects of the National Historical Publications and Records Commission (NHPRC), a net decrease of \$2,765 thousand from the FY 2022 enacted level. Funds requested provide for grants to State, local, and tribal governments, educational institutions, and private, non-profit archives and records repositories. An additional \$1,716 thousand in the NARA Operating Expenses appropriation provides for the salaries and expenses of administering the NHPRC grants program.

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

Strategic Direction

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

Historically Black Colleges and Universities (HBCU) Grants Program

Funds requested in the FY 2023 budget would provide \$3,000 thousand for a grants program to preserve and digitize the records of the creation of HBCUs. This program provides grants to HBCUs to preserve and provide public access to critical documents associated with their history while at the same time promoting new scholarship into the history of HBCUs.

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

Amounts Available for Obligation
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|---|-------------------|-----------------------------------|--------------------|
| Unobligated balance carried forward..... | \$ 1,471 | \$ 1,354 | \$ 0 |
| Recoveries of prior-year obligations..... | \$ 161 | \$ 175 | \$ 175 |
| New discretionary authority: | | | |
| No-year appropriation | \$ 6,500 | \$ 6,500 | \$ 9,500 |
| Unobligated balance, available in future years..... | -\$ 1,354 | \$ 0 | \$ 0 |
| Total obligations | \$ 6,779 | \$ 8,029 | \$ 9,675 |
| <i>Net outlays</i> | <i>\$ 6,095</i> | <i>\$ 9,865</i> | <i>\$ 8,151</i> |

Obligations by Object Classification
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Annualized CR Level | FY 2023 Request |
|--|-------------------|-----------------------------------|--------------------|
| 41.0 Grants, subsidies, and contributions..... | \$ 6,779 | \$ 8,029 | \$ 9,675 |
| 99.0 Total obligations | \$ 6,779 | \$ 8,029 | \$ 9,675 |

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National Archives and Records Administration

SPECIAL FUNDS

Fiscal Year 2023 Budget Request

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Records Centers Revolving Fund

Authorizing Language

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

Program Description

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

Explanation of Changes

(Dollars in Thousands)

| | <u>FTE</u> | <u>Obligations</u> |
|----------------------|----------------|--------------------|
| FY 2022 Current..... | 1,298.0 | \$ 193,500 |
| FY 2023 Budget..... | <u>1,298.0</u> | <u>\$ 193,697</u> |
| Net Change..... | 0.0 | \$ 197 |

The FY 2023 budget includes an estimated \$193,697 thousand in obligations for the Records Centers Revolving Fund, a net increase of \$197 thousand from FY 2022 estimated obligations of \$193,500 thousand. This full cost-recovery revolving fund provides for the operations of the NARA Federal Records Centers Program (FRCP). The FRCP stores over 27 million cubic feet of Federal government records on a temporary basis, on behalf of other Federal agencies. The FRCP is financed by payments from customer Federal agencies for services rendered.

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 2021 Actual | FY 2022 Current | FY 2023 Budget |
|----------------------------------|-------------------|--------------------|-------------------|
| Revenue..... | \$ 175,000 | \$ 203,500 | \$ 198,000 |
| Expenses..... | 185,500 | 203,200 | 197,700 |
| Net Operating Result..... | -\$ 10,500 | \$ 300 | \$ 300 |

Amounts Available for Obligation
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Current | FY 2023 Budget |
|---|-------------------|--------------------|-------------------|
| Unobligated balance carried forward..... | \$ 39,733 | \$ 37,112 | \$ 51,512 |
| Unobligated balance carried forward, multi-year (FRCP)..... | \$ 0 | \$ 17,154 | \$ 0 |
| Recoveries of prior-year obligations..... | \$ 2,934 | \$ 4,400 | \$ 4,400 |
| Appropriations discretionary: | | | |
| Appropriation, multi-year (FRCP)..... | \$ 50,000 | \$ 0 | \$ 0 |
| New discretionary authority: | | | |
| Collections from other Federal agencies..... | \$ 184,183 | \$ 203,500 | \$ 198,000 |
| Change in unfilled customer orders..... | -\$ 28,572 | \$ 0 | \$ 0 |
| New Discretionary authority..... | \$ 155,611 | \$ 203,500 | \$ 198,000 |
| Unobligated balance, available in future years, multi-year (FRCP).... | -\$ 17,154 | \$ 0 | \$ 0 |
| Unobligated balance, available in future years..... | -\$ 37,112 | -\$ 51,512 | -\$ 60,215 |
| Total obligations..... | \$ 161,166 | \$ 193,500 | \$ 193,697 |
| Obligations, multi-year (FRCP) ¹ | \$ 32,846 | \$ 17,154 | \$ 0 |
| <i>Net outlays</i> | <i>-\$ 43,781</i> | <i>\$ 0</i> | <i>\$ 0</i> |

1/ In FY 2021, the COVID Relief and Response Act provided \$50,000 thousand in emergency appropriations for the Records Center Revolving Fund.

National Archives and Records Administration
Records Centers Revolving Fund

Obligations by Object Classification
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Current | FY 2023 Budget |
|---|-------------------|--------------------|-------------------|
| 11.1 Full-time, permanent..... | \$ 67,105 | \$ 68,440 | \$ 69,549 |
| 11.3 Other than full-time permanent..... | 258 | 705 | 716 |
| 11.5 Other personnel compensation..... | 4,064 | 3,105 | 3,155 |
| 11.8 Special personal services payments..... | 45 | 41 | 42 |
| 12.1 Civilian personnel benefits..... | 26,734 | 26,138 | 26,561 |
| 13.0 Benefits for former personnel..... | 0 | 77 | 78 |
| 21.0 Travel and transportation of persons..... | 0 | 425 | 425 |
| 22.0 Transportation of things..... | 694 | 1,082 | 870 |
| 23.1 Rental payments to GSA..... | 15,066 | 47,807 | 48,128 |
| 23.2 Rental payments to others..... | 11,420 | 11,423 | 11,578 |
| 23.3 Communications, utilities, and misc. charges..... | 4,360 | 4,460 | 4,470 |
| 24.0 Printing and reproduction..... | 8 | 40 | 25 |
| 25.1 Advisory and assistance services..... | 2,531 | 2,725 | 2,345 |
| 25.2 Other services from non-Federal sources..... | 5,165 | 5,238 | 5,252 |
| 25.3 Other goods & services from Federal sources..... | 10,091 | 9,981 | 9,701 |
| 25.4 Operation and maintenance of facilities..... | 300 | 393 | 396 |
| 25.7 Operation and maintenance of equipment..... | 11,189 | 8,695 | 8,706 |
| 26.0 Supplies and materials..... | 498 | 804 | 550 |
| 31.0 Equipment..... | 1,427 | 1,921 | 1,150 |
| 32.0 Land and structures..... | 194 | 0 | 0 |
| 42.0 Insurance claims and indemnities..... | 17 | 0 | 0 |
| 99.0 Obligations, new discretionary authority..... | \$ 161,166 | \$ 193,500 | \$ 193,697 |
| <i>Subtotal, PC&B.....</i> | <i>98,206</i> | <i>98,506</i> | <i>100,101</i> |
| <i>Subtotal, non-labor.....</i> | <i>62,960</i> | <i>94,994</i> | <i>93,596</i> |
| 99.0 Obligations, multi-year appropriation (FRCP)..... | 32,846 | 17,154 | 0 |
| 99.0 Total obligations..... | \$ 194,012 | \$ 210,654 | \$ 193,697 |
| Full-Time Equivalents (FTE)..... | 1,234.0 | 1,298.0 | 1,298.0 |

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

National Archives Gift Fund

Authorizing Language

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

Program Description

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

Explanation of Changes

(Dollars in Thousands)

| | Obligations |
|----------------------|--------------|
| FY 2022 Current..... | \$ 4,492 |
| FY 2023 Budget..... | <u>4,278</u> |
| Net Change..... | -\$ 214 |

The FY 2023 budget includes an estimated \$4,278 thousand in obligations for the National Archives Gift Fund, a decrease of -\$214 thousand from FY 2022 estimated obligations of \$4,492 thousand.

Amounts Available for Obligation

(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Current | FY 2023 Budget |
|---|-------------------|--------------------|-------------------|
| Unobligated balance carried forward..... | \$ 4,939 | \$ 5,843 | \$ 5,667 |
| Recoveries of prior-year obligations..... | \$ 13 | \$ 10 | \$ 10 |
| New mandatory authority: | | | |
| Mandatory Appropriation..... | \$ 2,929 | \$ 4,306 | \$ 3,116 |
| Unexpired unobligated balance, end of year..... | -\$ 5,843 | -\$ 5,667 | -\$ 4,515 |
| Total obligations..... | \$ 2,038 | \$ 4,492 | \$ 4,278 |
| <i>Net outlays</i> | \$ 1,722 | \$ 4,074 | \$ 4,315 |

National Archives and Records Administration
National Archives Gift Fund

Obligations by Object Classification
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Current | FY 2023 Budget |
|--|-------------------|--------------------|-------------------|
| 21.0 Travel and transportation of persons..... | \$ 0 | \$ 27 | \$ 23 |
| 22.0 Transportation of things..... | 4 | 10 | 10 |
| 23.3 Communications, utilities, and misc. charges..... | 1 | 0 | 0 |
| 24.0 Printing and reproduction..... | 6 | 44 | 23 |
| 25.2 Other services from non-Federal sources..... | 18 | 2,005 | 2,070 |
| 25.3 Other goods & services from Federal sources..... | 196 | 355 | 175 |
| 26.0 Supplies and materials..... | 6 | 54 | 38 |
| 31.0 Equipment..... | 181 | 64 | 6 |
| 32.0 Land and structures..... | 203 | 723 | 723 |
| 33.0 Investments..... | 933 | 720 | 720 |
| 94.0 Financial Transfers..... | 490 | 490 | 490 |
| 99.0 Total obligations..... | \$ 2,038 | \$ 4,492 | \$ 4,278 |

National Archives Trust Fund

Authorizing Language

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

Program Description

The National Archives Trust Fund receives and disburses funds collected from sales to the public, including: reproductions of records, publications, and merchandise. Additionally, the Trust Fund collects royalties from partnership agreements, investment income, and admission fees to Presidential Library museums.

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

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

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

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

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

Explanation of Changes

(Dollars in Thousands)

| | <u>FTE</u> | <u>Obligations</u> |
|----------------------|-------------|--------------------|
| FY 2022 Current..... | 59.0 | \$ 11,227 |
| FY 2023 Budget..... | <u>59.0</u> | <u>11,946</u> |
| Net Change..... | 0.0 | \$ 719 |

The FY 2023 budget includes an estimated \$11,946 thousand in obligations for the National Archives Trust Fund, a net increase of \$719 thousand from FY 2022 estimated obligations of \$11,227 thousand.

Amounts Available for Obligation

(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Current | FY 2023 Budget |
|---|-------------------|--------------------|-------------------|
| Unobligated balance carried forward..... | \$ 3,642 | \$ 1,751 | \$ 1,675 |
| Unobligated balance, precluded from obligation..... | \$ 0 | -\$ 2 | -\$ 59 |
| Recoveries of prior-year obligations..... | \$ 3,932 | \$ 2,000 | \$ 2,000 |
| New mandatory authority: | | | |
| Collections from Federal and Non-Federal sources. | \$ 4,059 | \$ 9,210 | \$ 9,902 |
| Change in unfilled customer orders | \$ 0 | \$ 0 | \$ 0 |
| Joint Committee Sequestration ¹ | -\$ 2 | -\$ 57 | -\$ 57 |
| New Discretionary authority..... | \$ 4,057 | \$ 9,153 | \$ 9,845 |
| Unexpired unobligated balance, end of year..... | -\$ 1,751 | -\$ 1,675 | -\$ 1,515 |
| Unobligated balance, precluded from obligation..... | [2] | [59] | [116] |
| Total obligations..... | \$ 9,880 | \$ 11,227 | \$ 11,946 |
| <i>Net outlays</i> | <i>\$ 2,854</i> | <i>\$ 0</i> | <i>\$ 0</i> |

1. As required by section 251A of the Balanced Budget and Emergency Deficit Control Act, as amended (2 U.S.C. § 901a), administrative expenses for the Trust Fund were reduced by an estimated 5.7 percent in FY 2022 and FY 2023.

Obligations by Object Classification
(Dollars in Thousands)

| | FY 2021 Actual | FY 2022 Current | FY 2023 Budget |
|--|-------------------|--------------------|-------------------|
| 11.1 Full-time, permanent..... | \$ 3,128 | \$ 3,586 | \$ 3,695 |
| 11.3 Other than full-time permanent..... | 29 | 34 | 35 |
| 11.5 Other personnel compensation..... | 108 | 186 | 192 |
| 12.1 Civilian personnel benefits..... | 1,271 | 1,364 | 1,423 |
| 21.0 Travel and transportation of persons..... | 6 | 77 | 80 |
| 22.0 Transportation of things..... | 16 | 127 | 140 |
| 23.2 Rental payments to others..... | 0 | 0 | 0 |
| 23.3 Communications, utilities, and misc. charges..... | 22 | 90 | 93 |
| 24.0 Printing and reproduction..... | 121 | 197 | 203 |
| 25.1 Advisory and assistance services..... | 23 | 25 | 22 |
| 25.2 Other services from non-Federal sources..... | 1,304 | 1,286 | 1,398 |
| 25.3 Other goods & services from Federal sources..... | 182 | 497 | 598 |
| 25.4 Operation and maintenance of facilities..... | 17 | 60 | 75 |
| 25.7 Operation and maintenance of equipment..... | 146 | 190 | 201 |
| 26.0 Supplies and materials..... | 225 | 524 | 690 |
| 31.0 Equipment..... | 36 | 177 | 192 |
| 32.0 Land and structures..... | 13 | 284 | 273 |
| 33.0 Investments..... | 3,233 | 2,523 | 2,636 |
| 99.0 Total obligations..... | \$ 9,880 | \$ 11,227 | \$ 11,946 |
| <i>Subtotal, PC&B.....</i> | <i>4,536</i> | <i>5,170</i> | <i>5,345</i> |
| <i>Subtotal, non-labor.....</i> | <i>5,344</i> | <i>6,057</i> | <i>6,601</i> |
| Full-Time Equivalents (FTE)..... | 51.0 | 59.0 | 59.0 |

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

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

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

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

Benefits of Electronic Government (E-Gov) Initiatives

(In Whole Dollars; All Dollars are from the Operating Expenses appropriation unless otherwise noted)

| E-Gov Initiative | Benefits | Funding by Account | |
|----------------------|---|--|--|
| | | FY 2022 | FY 2023 |
| 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. | \$ 7,440 service fee | \$ 8,161 service fee |
| | | \$ 4,757 service fee Revolving Fund | \$ 5,218 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. | \$ 13,813 service fee | \$ 13,813 service fee |
| | | \$ 8,831 service fee Revolving Fund | \$ 8,831 service fee Revolving Fund |

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

Benefits of Electronic Government (E-Gov) Initiatives

(In Whole Dollars; All Dollars are from the Operating Expenses appropriation unless otherwise noted)

| E-Gov Initiative | Benefits | Funding by Account | |
|-----------------------------------|--|---|---|
| | | FY 2022 | FY 2023 |
| 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. | \$ 118,605 service fee | \$ 118,605 service fee |
| | | \$ 79,070 service fee Revolving Fund | \$ 79,070 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. | \$ 29,000 agency contribution | \$ 25,000 agency contribution |
| Freedom of Information Act Portal | The National FOIA Portal improves overall FOIA administration, providing citizens with a single site to submit electronic request for records from any agency. | \$ 73,914 agency contribution | \$ 65,755 agency contribution |

This section reports on agency actions to address top Management Challenges identified by the NARA Office of Inspector General (OIG) in their most recent Semiannual Report to Congress (covering the period April 1 to September 30, 2021). 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 2023 budget request addresses each challenge. The descriptions of OIG Management Challenges are summaries prepared by Management and are not represented as independent or objective descriptions. The original descriptions prepared by the NARA OIG can be found in the most recent OIG Semiannual Report to Congress, located at <https://www.archives.gov/files/oig/nara-oig-sar-21b-1apr21-to-30sep21-508.pdf>

| Management Challenge | NARA Actions |
|---|--|
| <p>1. Records Request Backlog at the National Personnel Records Center (NPRC):</p> <p>One of NARA’s most important responsibilities is to provide access to military service records to veterans and other stakeholders. The pandemic has had a significant, adverse impact on NPRC’s performance in this regard, resulting in an unprecedented backlog of over 500,000 requests. While service to the Veterans Benefits Administration (VA) has been restored, the backlog of public requests continues to grow. Adding to this challenge, NPRC also has a related backlog of records to be refiled; records which have been retrieved from storage for reference purposes and must now be returned to their proper storage location.</p> | <p>The FY 2022 planned budget for the <u>Records Center Revolving Fund</u> includes funding to address the backlog at the NPRC. The NPRC has expanded onsite operations, including the use of a temporary worksite to allow a greater number of staff perform onsite work. The NPRC will also maintain multiple work shifts until the backlog is addressed.</p> <p>NARA also continues to work with the VA to expand the digitization of NPRC holdings. NARA also upgraded our eVetRecs application to allow for a greater volume of reference transactions to be serviced remotely and delivered digitally.</p> <p>In FY 2023, NARA will complete the modernization of NPRC’s Case Management and Reporting System (CMRS). This system modernization will transform paper-based processes for fulfilling customer orders for paper records into fully-electronic processes that rapidly deliver digitized copies to customers through secure, accessible web portals.</p> |

| Management Challenge | NARA Actions |
|--|---|
| <p>2. Information Technology Security:</p> <p>In FY 2021, NARA again labeled IT security a “material weakness.” Further, over the past decade annual Federal Information Security Modernization Act (FISMA) audits or assessments have consistently identified IT areas in need of significant improvement.</p> | <p>The FY 2023 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>In FY 2022 and FY 2023 NARA will continue its efforts to comply with Executive Order (EO) 14028 - Improving the Nation’s Cybersecurity. NARA will implement Zero Trust Architecture principles.</p> |
| <p>3. OMB Memorandum M-19-21, Transition to Electronic Records:</p> <p>NARA needs to ensure proper records are in fact preserved government-wide and sent to NARA in the first place. NARA must work with federal agencies to ensure proper appraisal, scheduling, and transfer of permanent records in all formats. The major challenge is how best to accomplish this in a rapidly changing technological environment. Further, it is not currently known what amount, or exact formats, of data and electronic records will be coming to NARA. Thus it is not known whether the systems in place will be able to ingest, process, preserve, store, and provide access to this information.</p> | <p>The FY 2023 budget for NARA <u>Operating Expenses</u> includes funding to support government-wide policy, oversight, and training in records management for other Federal agencies to meet the M-19-21 government-wide directive to manage all permanent records in electronic format by December 31, 2022.</p> <p>In FY 2022, NARA will explore integrating records management requirements and standards into broader government efforts, such as Federal Data Strategy and NIST’s’ Special Publication 800-53 Security and Privacy Controls for Information Systems and Organizations. NARA will continue to build partnerships with agencies and working groups.</p> |

| Management Challenge | NARA Actions |
|--|---|
| <p>4. Expanding Public Access to Records:</p> <p>Some of NARA’s analog holdings (by series) have not been processed, so the public does not have efficient and effective 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. In addition, the transition of federal record-keeping to a fully electronic environment will present additional challenges to making records accessible to the public. This work includes standardizing processing procedures across the agency, strengthening internal controls, and monitoring performance.</p> | <p>NARA will continue to digitize records within the FY 2023 request for <u>Operating Expenses</u> and through no-cost arrangements with private sector partners. The FY 2023 request also includes funding to provide access to one of NARA’s most prominent collections of records associated with Native American tribes.</p> <p>In FY 2022 and FY 2023, as part of a community engagement effort, NARA will consult with our users, researchers, and traditionally underserved communities to identify records for digitization that will provide equitable representation of underserved communities in our digital holdings in the National Archives Catalog.</p> <p>In FY 2023, NARA will continue implementing the Electronic Records Initiative. Once fully implemented, NARA expects to digitize 8-12 million pages of textual records and 150 TB of audio, video, and film records each year. This is in addition to the digitization work already being done in our digitization labs, custodial units, and by external partners.</p> |
| <p>5. Electronic Records Archives (ERA):</p> <p>The vast volumes of electronic records that will need to be preserved is significant, and NARA is challenged to meet data storage requirements for them. NARA’s in-house data storage is reaching capacity, impacting the agency’s digitization efforts and other IT programs. Without sufficient storage, NARA would have difficulty accepting, storing, and processing electronic records or make them available to the public.</p> | <p>The FY 2023 budget for NARA <u>Operating Expenses</u> continues funding for the development of ERA 2.0. In FY 2022, NARA will fix and re-factor current capabilities, as well as adapt and expand new capabilities to meet the expected demands of a rapidly growing backlog of digital material – addressing key findings of the OIG.</p> <p>In FY 2023, enhancements will be added to the ERA 2.0 system to add much-needed functionality to the Executive Office of the President (EOP) production system and provide increased integration to manage the massive volumes of electronic records.</p> |

| Management Challenge | NARA Actions |
|---|--|
| <p>6. Pandemic Response:</p> <p>Like all employers, NARA is challenged to determine the best path forward during this pandemic. NARA is challenged to both keep agency staff safe and still meet NARA's mission. These are times of near unprecedented change, presenting both opportunities and new challenges. To succeed, NARA must seize the opportunities, potentially changing long-held beliefs and processes, and overcome the challenges. No less than the history of this great republic hangs in the balance.</p> | <p>In FY 2022 and FY 2023, NARA will focus on eliminating the pandemic backlogs. NARA will also conduct an extensive analysis of agency operations during the COVID-19 pandemic as an opportunity to modernize agency operations and improve resilience.</p> <p>NARA will continue to modernize its business processes to respond to records remotely, using digital records and secure methods to transmit responses to records requests.</p> <p>During the pandemic, many agencies expanded their use of collaborative tools to accommodate the need to operate virtually. In FY 2022, NARA will assess the collaborative tools and platforms that agencies are using to understand the records management implications and potential gaps in records management guidance. In FY 2023, NARA will issue guidance to agencies for managing, retaining, and transferring Federal records in collaborative working environments, websites, and social media.</p> |

National Archives and Records Administration

**FY 2023 ANNUAL PERFORMANCE PLAN and
FY 2021 ANNUAL PERFORMANCE REPORT**

Fiscal Year 2023 Budget Request

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NARA Mission, Vision, and Goals

The National Archives and Records Administration's (NARA) FY 2022 – FY 2026 Strategic Plan details the actions and outcomes necessary to meet agency Strategic Goals. NARA's Annual Performance Plan lists the performance objectives and measures that NARA uses to evaluate performance progress against those goals.

MISSION:

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

VISION:

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

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 modernize Federal records management, advance digital preservation of archival electronic records, and support the transition to digital government.

BUILD OUR FUTURE THROUGH OUR PEOPLE.—NARA will create and sustain a culture of Diversity, Equity, Inclusion, and Accessibility (DEIA); and ensure that NARA's workforce has 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 making access happen by delivering increasing volumes of records to the American public online, using flexible tools and accessible resources that promote public participation. We are engaging with underserved communities to find opportunities to expand public participation and promote equity through our mission. 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 2026, NARA will process 85 percent of archival holdings and increase enhanced descriptions to promote equity in discovery and public access to archival records related to underserved communities.*

Description of measure: Archival processing refers to those actions NARA must take in order to provide efficient access for researchers and members of the public, including: cataloging and description, basic preservation, and adding the records to NARA’s inventory control system. NARA’s processing measure is the weighted average of the percentage processed for archival and Presidential records, where percent processed is the total number of traditional (non-electronic), unclassified records processed to date, as a percentage of total unclassified records at the end of the reporting period.

Many of NARA’s holdings that are of interest to underserved communities are not currently described at a level that ensures discoverability. As a result, these communities are often not aware of documents and artifacts in NARA’s holdings that document their rights and record their experiences.

| Performance Measure | Year | 2018 | 2019 | 2020 | 2021 | 2022 | 2023 |
|--|---------------|-------------|-------------|-------------|-------------|-------------|-------------|
| Percent of unclassified archival holdings processed | <i>Target</i> | 79% | 80% | 81% | 82% | 85% | 85% |
| | <i>Actual</i> | 78 | 81% | 81% | 89% | | |
| Number of pages with enhanced description | <i>Target</i> | — | — | — | — | Baseline | TBD |
| | <i>Actual</i> | — | — | — | — | | |
| Number of digital files with enhanced description | <i>Target</i> | — | — | — | — | Baseline | TBD |
| | <i>Actual</i> | — | — | — | — | | |
| Total number of unclassified archival holdings processed | <i>Target</i> | — | — | — | — | — | — |
| | <i>Actual</i> | 4.0M | 4.3M | 4.3M | 4.7M | | |

Performance summary: By the end of FY 2021, NARA had processed a cumulative total of 4.7 million cubic feet of unclassified records, resulting in 89 percent of the unclassified records being processed. Despite the COVID-19 pandemic, NARA exceeded the annual target of 82 percent of total holdings processed while also decreasing a backlog of unprocessed records. NARA’s approach to implement basic processing consistently and uniformly resulted in processing efficiencies. While NARA’s basic processing procedures have led to higher processing rates, the records lack sufficient description to allow for full discoverability.

In FY 2022 and FY 2023 NARA will conduct basic processing on 85 percent of the unclassified archival holdings. Basic processing will be maintained at this level. NARA will implement business process improvements to accelerate processing and online public access to records of high interest to underserved communities. We will engage with underserved communities to increase awareness of documents and artifacts in NARA’s holdings that document their American experience. Expanding our efforts to conduct reparative processing will enable NARA to provide meaningful access to more diverse information and records and contribute to a more inclusive picture of American history and society.

Objective: *By FY 2026, NARA will digitize 500 million pages of records and make them available online to the public through the National Archives Catalog.*

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

Digitizing NARA’s records supports the public access and use of the permanent records of the Federal government far beyond the access we can provide in our facilities. Digitized records support equity efforts by providing access to records for traditionally underserved communities who may be unable to travel to a facility or who may be overwhelmed by entering one of the largest archives in the world for the first time to conduct research. Digitized records decrease the obstacles to access and create opportunities for equitable availability of information.

| Performance Measure | Year | 2018 | 2019 | 2020 | 2021 | 2022 | 2023 |
|---|---------------|-------------|-------------|-------------|-------------|-------------|-------------|
| Number of pages digitized and made available online through the Catalog | <i>Target</i> | 65M | 90M | 115M | 140M | TBD | TBD |
| | <i>Actual</i> | 53.1M | 92.6M | 121M | 149M | | |

Performance Summary: NARA successfully digitized 145 million pages surpassing its FY 2021 annual target of 140 million pages digitized. NARA’s digitization partnerships contributed more than 100 million digitized pages, with 23.3 million pages added by the partners in FY 2021. NARA exceeded the performance goal for three consecutive years for this metric. In Fall 2022, NARA plans to launch the NextGen Catalog, a modernized version of the National Archives Catalog that will address scalability issues and enhance functionality to ensure records are easy

to discover. Additionally, NARA will make user experience enhancements to support the growing volume of data.

Records enter the National Archives Catalog following a decentralized approach. The records arrive from NARA staff, offices, partners and citizen archivists. NARA developed expertise in planning and tracking digitized records coming into the Catalog through these sources. Additionally, NARA implemented processes to support bulk addition of digitized records to the Catalog.

In FY 2022 and FY 2023, as part of a community engagement effort, NARA will consult with our users, researchers, and traditionally underserved communities to identify records to digitize that will provide more equitable representation of underserved communities in our digital holdings in the National Archives Catalog. We will increase equity and strengthen engagement in areas of digitization, reparative description, next-generation finding aids and bulk access to records for community use. NARA will seek new digitization partnerships and projects. We will initiate efforts to create digital Presidential Libraries by ensuring that records on Presidential Library websites are available in the National Archives Catalog.

Objective: ***By FY 2026, NARA will collaborate with traditionally underserved communities to correct outdated descriptions in the National Archives Catalog and prioritize citizen engagement projects that increase access to records that are important to underserved communities.***

Description of measure: NARA has not systematically included traditionally underserved communities in previous archival access processes. With knowledge gained from the work of the Archivist's Task Force on Racism, NARA's response to Executive Order (E.O.) 13985: *Advancing Racial Equity and Support for Underserved Communities Through the Federal Government*, the E.O. challenges us to recognize and work to redress inequities in our policies and programs that may serve as barriers to equal opportunity. NARA is committed to focus on community-centered access. Through collaboration with underserved communities, NARA will seek their guidance to identify records in the National Archives Catalog that require augmented or enhanced descriptions. NARA will collaborate with these communities to prioritize scans of records relevant to underserved communities' interests.

Performance Summary:

Underserved communities are described in E.O. 13985 as Black, Latino, and Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality.

In FY 2022 and FY 2023, NARA will reach out to these communities to garner their support and work collaboratively with NARA to engage in efforts to improve the availability and access to records that represent their experiences and history as a part of American history. NARA's agency equity team will champion the effort to identify underserved communities that share an interest or seek to learn more about the National Archives and the archival records in our custody. In FY 2022, using lessons learned from the user-generated finding aids prototype, NARA plans to begin development work on production of user-generated finding aids in the National Archives Catalog.

NARA will begin work to apply reparative metadata to 1,000 digital pages, develop finding aids, host a transcription project and perform one bulk download. NARA will apply reparative description to 1,000 digital pages in the National Archives Catalog each year. As we gain knowledge from lessons learned, we will increase production of these products each year.

Objective: *By FY 2026, 95 percent of customer requests will be ready within the promised time.*

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

| Performance Measure | Year | 2018 | 2019 | 2020 | 2021 | 2022 | 2023 |
|---|---------------|-------------|-------------|-------------|-------------|-------------|-------------|
| Percent of customer requests ready within the promised time | <i>Target</i> | 93% | 93% | 93% | 93% | 93% | 93% |
| | <i>Actual</i> | 96% | 97% | 89.2% | N/A | | |

Performance summary: The effects of the COVID-19 pandemic continued to disrupt operations at NARA’s Federal Records Centers throughout FY 2021 causing NARA to fall well below its target in meeting customers’ requests. Substantial backlogs of unanswered users requests accumulated as a significant number of staff were unable to work onsite at their local facility due to facility closures. Emergency requests were given priority and serviced although backlogs of veterans and agency requests amassed. Record disposal backlogs also grew to more than 1 million cubic feet and large numbers of records scheduled for transfer to the Federal records centers have not been received.

NARA reexamined business processes to minimize the negative impact and challenge of numerous facility closures. The pandemic forced NARA to develop capacity to service requests remotely using digital records and secure methods of transmission. In addition, NARA identified additional functions that could be completed remotely in FY 2021 and coordinated with staff detailed from other agencies for support.

In our research rooms NARA implemented a reopening pilot which opened the textual research rooms at the National Archives in Washington, DC, College Park, MD, Broomfield, CO, and Kansas City, MO, to agency researchers during the pandemic. The objective of the pilot was to assess the operational changes and health and safety measures on a small scale prior to broader public opening.

In FY 2022 and FY 2023, NARA will focus on eliminating the pandemic backlogs. We will continue to examine processes to increase opportunities to be more flexible and responsive to fluctuations in demand. NARA will implement strategies to modernize business processes to respond to remote reference requests using secure, digital delivery systems.

NARA will examine new approaches to fulfill researcher requirements. We will increase capability to complete research transactions online and through virtual consultations, to improve access for researchers and members of the public who are unable to visit a NARA facility.

Connect with Customers

Connect with Customers challenges us to continuously improve the customer experience, cultivate public participation, and generate new understanding of the importance of records in a democracy. We strive to represent the stories of all Americans in our work. We continuously engage with and learn from our customers: individuals, communities, organizations, and other Federal agencies. We refer to our customers by many names — such as patron, client, or partner — depending on the service provided; however, we refer to all of these groups collectively as “customers” to maintain consistency with government-wide priorities to improve the customer experience across all 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, engagement, and equity.

Objective: *By FY 2026, NARA will demonstrate enhanced organizational understanding of internal and external customer wants, needs, and expectations to support the design and delivery of world-class services.*

Description of measure: Understanding the customer is the cornerstone of successful customer experience transformations. NARA led an initiative to query the types of activities NARA utilized to understand its customers. The results concluded that 31 percent of NARA service providers were not engaged in any of the queried activities to better understand the customer. Inconsistent and varying degrees of engagement in activities to understand the customer limit NARA’s ability to best understand customer wants, needs, expectations, and diverse journeys; impacts the extent to which the agency may benefit from the outputs or outcomes of consumer research; perpetuates disjointed and fragmentation of services; and promotes a reactive cycle of service delivery and recovery.

Organizational awareness and understanding of customer wants, needs, expectations, and journeys is critical to successfully managing customer experience and continuously improving service delivery. Progress will be measured by the extent to which NARA service providers formally engage in activities to understand the customer from delivery of service through follow-up assessments.

| Performance Measure | Year | 2021 | 2022 | 2023 |
|---|---------------|-------------|-------------|-------------|
| NARA service providers engaged in customer understanding activities | <i>Target</i> | Baseline | — | — |
| | <i>Actual</i> | 31% | | |

Performance summary: NARA will increase organizational capacity to conduct agency-level customer research initiatives and expand the application of human-centered design methodologies to improve service delivery. In FY 2022, NARA will inventory existing and prospective customers, all major lines of business/services, and agency-level opportunities to improve service design and delivery. In FY 2023, NARA will publish an Enterprise Customer Research Agenda on [archives.gov](https://www.archives.gov). The customer research agenda is a tool that NARA will use to document agency-level opportunities to deepen organizational understanding of customers and services in order to improve customer experience and facilitate the coordination of organizational resources to improve service delivery. The agenda will be updated annually.

In FY 2023, NARA will formally implement its customer experience framework by conducting and publishing the results of an agency-level service improvement initiative also referred to as a human-centered design sprint. Human-centered design sprints are representative of agency-level adoption of a customer-focused approach to service design and delivery. The focal area for each agency-level initiative/design sprint will be selected from the Customer Research Agenda by NARA's Customer Experience Executive Council.

Objective: *By FY 2026, NARA will modernize enterprise communication and service channels to capture customer feedback and continuously improve the customer experience.*

Description of measure: Inconsistent and varying approaches to customer experience measurement across the agency limits NARA's ability to better understand the degree of customer satisfaction, trust, or how customers perceive their experiences with the organization. It also inhibits the organization's ability to recognize and address customer concerns sooner rather than later, track improvements over time, or address discrepancies in experiences across NARA organizations. These discrepancies may result in fragmented customer feedback through formal or informal communication channels not equipped to translate customer comments into actionable insights or aggregate the data to illuminate service deficiencies.

Evaluating service delivery from the customer's perspective best positions organizations to proactively promote timely service recovery and identify trends signaling opportunities for wide-spread enhancements to customer experiences. NARA does not have an enterprise customer experience measurement framework or a technology enabled tool to track, aggregate, analyze, and harvest customer insights across multiple platforms and service channels.

Performance summary: NARA will successfully achieve this objective when NARA is equipped to systematically evaluate service delivery from the customer's perspective. This success is based on establishing an enterprise customer experience measurement framework to support consistent evaluation of service delivery across the diverse ways that customers interact with NARA (e.g. in person, via website, thru email, etc.), through journeys, and customer relationships. In FY 2022 and FY 2023, NARA will begin developing a customer experience measurement framework and focus on strategies to strengthen NARA's ability to capture customer feedback across diverse service channels and communication platforms.

Objective: *By FY 2026, NARA will deliver a national program of museums, education, and public programming that demonstrates leadership in equity, accessibility, and diversity.*

Description of measure: This objective focuses on customers that NARA serves through the museums and education and public programs. These customers, of more than 2 million, represent the largest group of the public who engage in person with NARA annually. NARA has traditionally measured customer satisfaction through customer surveys that sought to evaluate post visit satisfaction of the public who either visited one of NARA's museum exhibits, participated in an in-person education program, or attended one of the public programs.

Although customer satisfaction has scored very high, we want to understand why these visitors chose to engage with NARA, why are others not engaging with us, and are we offering

engagement opportunities that are welcoming to all visitors. While we are interested in why some choose to engage with us and others do not, we also seek to better serve all communities and present exhibits and programs that reflect the diversity of voices that are represented in our records. We also want to be more accessible to all visitors and meet their needs when they enter a NARA facility.

Performance summary: In FY 2021, NARA changed a number of our offerings to the public during the pandemic, including a shift to more virtual experiences to provide continued access to NARA's resources. Virtual access also helped expand NARA's reach to new audiences.

To achieve leadership in equity NARA will focus on the following strategies:

- Address accessibility and improve compliance with the Americans with Disabilities Act (ADA) in NARA museum exhibits and facilities;
- Identify and engage underserved communities by using our collections to tell their stories, and amplify onsite programs through enhanced virtual engagement;
- Develop effective visitor research and audience evaluation data to measure success.

In FY 2022, NARA will survey all Presidential Libraries and museums to determine the current status of ADA compliance and identify remediation strategies.

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 modernizing records management practices across the Federal government, advancing digital preservation of archival electronic records, and supporting the transition to digital government. NARA will explore new technology to find low-cost, practical solutions to improve processing, access review and redaction, and digitization, to accelerate the delivery of electronic and digitized records to the public. NARA is conducting an extensive analysis of agency operations during the COVID-19 pandemic as an opportunity to modernize agency operations and improve resilience.

Objective: *By FY 2026, NARA will provide policy, requirements, and oversight to support a transparent, inclusive, and fully digital government.*

Description of measure: NARA has a statutory responsibility to provide guidance to agencies to meet their records management needs and regulatory requirements. NARA is modernizing records management practices across the Federal government, advancing digital preservation of archival electronic records and supporting the transition to digital government. NARA will explore new technology to find low cost practical solutions to improve processing, access, review, redaction and digitization to accelerate the delivery of electronic and digitized records to the public.

This objective highlights NARA's new strategies that address equity issues in our appraisal and scheduling practices. NARA will continue to work and build out digitization standards for permanent analog records. We will continue to work with the private sector and the vendor community to establish requirements to improve Federal agencies' access to software applications and cloud offerings that will allow them to perform records management more efficiently and effectively.

NARA's oversight of Federal agencies records management practices provides a window into the state of records management throughout the Federal government. Inspections, assessments and system audits help to strengthen agency records management programs and ensures that records are managed in compliance with Federal laws, regulations, and NARA policies. NARA's oversight engagements identify broad recordkeeping challenges, agency non-compliance with Federal records, and best practices in order to ensure that electronic records are properly managed.

Performance Summary: NARA will pursue several strategies in the next few years to accomplish this objective. Work continues on the development of guidance on the digitization of permanent analog records. During the pandemic, agency use of collaborative tools increased to accommodate the need to operate virtually, however, NARA systems do not support the ingest of electronic records created in collaborative platforms. NARA will assess the collaborative tools and platforms that agencies are using to understand the records management implications and potential gaps in NARA's records management guidance. In FY 2023, NARA will issue guidance to agencies for managing, retaining, and transferring Federal records in collaborative working environments, websites, and social media.

NARA will work with underserved communities to address equity considerations as they relate

to underserved communities and incorporate equity related considerations in NARA's appraisal procedures. NARA will work with agencies to process and approve schedules that will better reflect underserved communities.

In FY 2022, NARA will explore integrating records management requirements and standards into broader government efforts, such as Federal Data Strategy and NIST's' Special Publication 800-53 Security and Privacy Controls for Information Systems and Organizations. NARA will continue to build partnerships with agencies and working groups.

Objective: *By 2026, NARA will reduce the time it takes to start complex Freedom of Information Act (FOIA) requests for unclassified records.*

Description of measure: One of the principal ways that NARA provides customers access to agency records is through Freedom of Information Act (FOIA) requests. Long delays in receiving access to our records is a principal complaint of FOIA requesters. NARA experiences significant delays in addressing complex FOIA requests for unclassified records that can range from five to eight years before work even begins on a request. The cause of the backlogs differ among program offices, but success can be measured in two ways; 1) a reduction in the time it takes to begin a review and 2) a reduction in the time it takes to complete the review.

Performance summary: Providing access to NARA's records more quickly will greatly enhance NARA's customers' experience. In FY 2022 and FY 2023, NARA will focus on FOIA requests at the George W. Bush and William J. Clinton Libraries and the Special Access and FOIA Division, where some of our longest delays exist.

Objective: *By 2026, NARA will advance existing physical and intellectual controls for the agency's holdings to enable digital preservation risk planning and risk mitigation, and ongoing access to electronic records.*

Description of measure: NARA plays a critical role in the Federal government's transformation to a digital environment. As the stewards of vast amounts of electronic records growing at an exponential rate, NARA must be prepared to manage the results and mitigate risks once the records are transformed.

While NARA is successful in implementing preservation strategies for analog holdings, enterprise-wide digital preservation efforts must be identified and implemented to align with the capabilities in analog preservation. Initiatives to include the development of policies, practices, documentation and IT infrastructure are critical to digital transformation. NARA not only is part of the transformation, but the agency must be able to manage the records once they are transformed.

Efforts are underway to identify the gaps in policy and documentation and process improvement initiatives are dependent on system and tool implementations.

Performance summary: NARA launched its digital preservation framework in 2019. This framework incorporates documentation of the significant properties of record categories (email, still image, audio, video, etc). The framework also provides the ongoing structure to analyze file formats in the holdings and document risk assessments and mitigation steps.

In FY 2022 and FY 2023, NARA will integrate tools necessary for processing and preservation. These integrated tools will be used to identify file formats and MIME (i.e., a standard for formatting files of different types) types for electronic records preserved in ERA 2.0. In FY 2023, NARA will implement an automated process in ERA 2.0 to run the tools used to identify file formats and MIME types. NARA will implement a database or application to support the maintenance of our digital preservation framework, prepare requirements documentation and conduct market research for a tool solution.

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 support their career development, enable their successful transition to a digital environment, and thrive in an inclusive, supportive, and diverse work environment. We are dedicated to building a workplace culture based on the principles of Diversity, Equity, Inclusion, and Accessibility (DEIA), so that all employees are empowered, engaged, and prepared to become the next generation of leaders. We are building relationships with underserved communities, educational institutions, and professional organizations to develop new recruitment pipelines to attract and retain a diverse workforce with the skills necessary to fulfill our mission.

Objective: *By FY 2026, NARA will increase the frequency of effective coaching that employees receive by 50 percent to improve performance, retention, and relationships across the organization.*

Description of measure: NARA staff will benefit from coaching interactions with their supervisors. Effective coaching is the keystone component of a culture of strong performance, consistent employee development, and work relationships that instill a sense of pride and inclusiveness. During a year-long pilot, NARA's Office of Human Capital measured coaching contact frequencies across a segment of NARA staff. The results highlighted opportunities for significant improvement in the frequency of coaching.

NARA wants to foster a coaching culture that will improve individual and organization performance, employee engagement and productivity, and increase focus on mission and organizational objectives. Increased coaching will result in improved creativity, learning, and workplace relationships that allow for greater collaboration across the agency. Effective coaching will also provide for a better understanding of the behaviors that contribute to successful interactions. NARA must ensure consistency and equity as we work together to achieve NARA's mission.

Performance summary: NARA will provide coaching skills to agency managers. In FY 2022, NARA will implement coaching training and support for team leads and supervisors. Effective training will equip them with the resources, tools, and information necessary to lead effectively while creating a high performance organization. In FY 2023, NARA will assess improvements against a baseline measure to determine the impact of training and the focus on coaching and employee perception on the effectiveness of coaching.

Objective: *By FY 2026, NARA will increase the diversity of employees in mission critical occupations for GS-12 and above positions to mirror the Civilian Labor Force (CLF).*

Description of measure: Diverse workplaces offer employees a better sense of community, increased worker engagement, and a more positive work culture. NARA's workforce is underrepresented in multiple categories of mission critical positions for GS-12 level employees and above. NARA has identified several strategies to address this problem. This objective will focus NARA on opportunities to establish recruitment pipelines by building relationships with minority and diverse educational institutions and

professional organizations that can be accessed through OPM hiring flexibilities, e.g. Pathways program. NARA will use recruitment technology platforms to expand the opportunities to recruit and hire qualified minority and diverse candidates into positions at all levels.

Performance Summary: In FY 2022, NARA will establish relationships with specific institutions and organizations. These options offer direct access to qualified diverse candidates with the required educational or professional background. NARA will also take steps to update recruitment agreements and reinvigorate the Pathways program as an option for bringing in new minority or diverse talent. In FY 2022 and FY 2023, NARA will develop training that communicates senior leader's commitment to creating and maintaining a workforce that reflects that of the civilian labor force.

Objective: *By FY 2026, NARA will increase the number of employees who agree that the agency provides career advancement opportunities by 50 percent.*

Description of measure: NARA must provide career development and career advancement opportunities for its employees. Providing career development opportunities through career pathing will increase employee awareness of the required knowledge, skills, and experiences necessary to advance in a vertical, lateral, or cross-functional career path. Progress and data for this objective are obtained from employee responses in the Employee Viewpoint Survey (EVS) to the question "How satisfied are you with your opportunity to get a better job in your organization?"

NARA identified several strategies to influence and increase positive employee perception of career advancement opportunities. NARA will develop agency-wide career roadmaps and identify required competencies needed to perform existing and future positions. Additionally, NARA will provide training and development opportunities, and establish an equitable method and process to develop critical position and leadership pipelines.

Performance Summary: In FY 2022, NARA will analyze and document current organizational career paths, capturing the job series, the OPM required qualifications and the competencies for the job series in order to develop agency-wide career maps. This collection of information will serve as a useful tool to guide employees along a particular career pathway. These paths will not only inform employees of the required experience and training needed to pursue a particular path, but also of the skill gaps that may exist.

NARA will foster a culture of continuous learning in an inclusive, equitable environment. Annually, NARA will assess the training needs of employees interested in advancing to positions in mission critical occupations to ensure equity in NARA's diverse workforce. Employees will be equipped with the skills, knowledge and competencies that provide equitable opportunities for upward mobility.

Objective: *By FY 2026, NARA will foster a culture that encourages civil interaction, equity, and inclusion that allows employees to feel connected to the agency's mission and contribute to their full potential.*

Description of measure: NARA employees must operate in an environment that is inclusive, respectful, and professional. NARA must cultivate a supportive, inclusive and equitable work environment that allows employees to feel connected to the agency's mission and contribute to their full potential. When problems persist and are not addressed, barriers are created that prevent employees from performing at their best.

A more supportive, welcoming, inclusive, and equitable workplace allows employees to feel more connected to the agency's mission and contribute to their full potential. This objective will fully integrate culture, work-life wellness, diversity, and inclusion. NARA will evaluate programs and processes and identify barriers that may impact inclusion and equitable opportunities.

Performance Summary: NARA will pursue several strategies to ensure the success of this objective. NARA will build a diversity and inclusion program to promote education and training on diversity to strengthen and foster an inclusive workforce. NARA will establish protocols to ensure greater employee involvement in agency decision-making, promote a culture of inclusion and professionalism, and support cross cultural training and collaboration.

In FY 2021, NARA established a DEIA agency team and began the process to conduct preliminary assessments to understand the current workforce composition as it relates to DEIA. This data will inform decisions relating to recruitment, employment practices and policies, strategic planning, and other processes. NARA also launched "A Civil NARA"; an initiative to help build and maintain civil interactions in the workplace that empowers all employees to resolve interpersonal issues before they escalate into conflicts or disputes.

In FY 2022 NARA will integrate diversity and inclusion, civility, and health and wellness in NARA's culture program. We will use employee feedback to improve organizational culture and encourage leadership approaches that support employee engagement.

In FY 2023, NARA will establish an employee-led group to focus on workplace culture initiatives that address health and well-being, civil interaction and diversity and inclusion. NARA will incorporate diversity and inclusion recognition in NARA's annual award program.

FY 2021 Discontinued Measures (Performance measures aligned to NARA’s FY 2018 – 2022 Strategic Plan)

The following performance measures from NARA’s FY 2021 Annual Performance Plan are being discontinued as targeted performance measures. Those performance measures from FY 2021 that align with the objectives in NARA’s new draft FY 2022 - 2026 Strategic Plan are carried forward in the goals and targets for FY 2022 and FY 2023.

Make Access Happen

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

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

| Performance Measure | Year | 2017 | 2018 | 2019 | 2020 | 2021 | 2022 |
|---|---------------|-------------|-------------|-------------|-------------|-------------|-------------|
| Percentage of series descriptions in the National Archives Catalog made findable through API-based finding aid products | <i>Target</i> | 0.5% | 1% | 3% | 89% | 95% | 98% |
| | <i>Actual</i> | 0% | 0% | 84% | 92% | TBD | |

Performance summary: NARA deployed a finding aid for Bureau of Indian Affairs photographs. This finding aid links to more than 18,000 digitized photographs from Records of the Bureau of Indian Affairs, 1793 – 1999. NARA also successfully developed a next-generation finding aid for donated collections.

Connect with Customers

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

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

| Performance Measure | Year | 2017 | 2018 | 2019 | 2020 | 2021 | 2022 |
|---|---------------|-------------|-------------|-------------|-------------|-------------|-------------|
| Cumulative number of records enhanced by citizen contributors | <i>Target</i> | 75K | 100K | 260K | 500K | — | — |
| | <i>Actual</i> | 136K | 259K | 483K | 1.2M | N/A* | N/A* |

* Goal was achieved in FY 2020.

Performance summary: NARA achieved the goal of enhancing one million records in FY 2020. NARA will focus on reparative description and enhancing the records of underserved communities in FY 2022. This effort is captured in goal one.

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 the Office of Management and Budget (OMB).

| Milestone | Year |
|---|-------------|
| Issue regulations with digitization standards for permanent records created on paper, specifying technical standards and quality control standards | FY 2021 |
| Issue implementing guidance for digitizing records | FY 2021 |
| Issue regulations with digitization standards for permanent records created on a variety of analog formats, including still pictures, motion pictures, maps, and x-rays | FY 2022 |

Performance summary: [OMB/NARA Memorandum M-19-21, Transition to Electronic Records](#) required NARA to issue updates to records management regulations and guidance by September 30, 2020. While NARA made substantial progress in this area, NARA did not issue the digitization regulations and guidance in FY 2021.

NARA published regulations for digitizing temporary federal records in 2019. In December 2020, NARA published draft regulations with digitization standards for permanent analog records in the Federal Register for public comment. NARA received over 115 comments from the general public, federal agencies, public policy groups, vendors, historical associations, industry associations, and technical experts. NARA is addressing the comments on the draft regulation and will submit a revised draft to OMB. NARA expects to issue the final regulation in FY 2022.

When the regulation is published, NARA will issue products that provide guidance for implementation, including a digitization success criteria document and best practices for small-scale digitization projects. These products will help agencies better understand how to meet the regulations on topics such as key digitization concepts, technical information, and best practices. In addition, once the regulations are published, NARA will revise the General Records Schedule to allow agencies to dispose of permanent original records that meet the digitization standards. In FY 2023, NARA plans to issue a regulation with digitization standards for permanent records created on transmissive film materials such as still images, microforms, and x-rays.

In FY 2021, NARA’s Federal Electronic Records Management Initiative (FERMI) reached the milestone of achieving a baselined Electronic Records Management Federal Integrated Business Framework (FIBF). The FIBF is a model that enables the federal government to better coordinate and document common business needs across agencies and focus on outcomes, data, processes, and performance. Having an ERM FIBF baseline provides a starting point for agencies when they are procuring mission support services. The Business Standards Council of GSA and OMB reviewed NARA’s FIBF. The FERMI team also collaborates with other standards leads to ensure they incorporate electronic records management standards into their FIBFs.

Maximize NARA’s Value to the Nation

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

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

Performance summary: NARA’s efforts to only accept transfers of electronic records are captured in goal 3 discussions of transitioning to a fully digital environment. NARA and agencies’ progress on this objective were significantly delayed by the COVID-19 pandemic.

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

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

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

Performance summary: NARA accomplished this goal in FY 2020. In FY 2021, NARA continued to promote and encourage existing and potential new external platforms to leverage reuse of NARA’s data.

Build our Future through our People

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

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

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

| Performance Measure | Year | 2017 | 2018 | 2019 | 2020 | 2021 | 2022 |
|--|---------------|-------------|-------------|-------------|-------------|-------------|-------------|
| Percent of staff who participated in a leadership development activity | <i>Target</i> | baseline | 35% | 37.5% | 40% | 40% | 40% |
| | <i>Actual</i> | 32.5% | 39.3% | 46% | 52.5% | 70.3 | |

Performance summary: Leadership development activity at NARA continues to grow. As reflected in the data, we continue to exceed our target with an 18 percentage point growth from the FY 2020.

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

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

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

Performance summary: In FY 2021, NARA continued to partner with the Department of Treasury, Bureau of the Fiscal Service, Administrative Resource Center (ARC), the human resources shared services partnership, to ensure staffing timelines were met, subject to local health conditions.

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

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

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

* The program did not advance beyond 2019.

Performance summary: NARA did not realize progress against this goal in FY 2021. A new approach to career paths is captured in our new goal 4 objectives where NARA will develop agency-wide career roadmaps and identify required competencies needed to perform existing and future positions.

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

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

Performance summary: In FY 2021, NARA’s career development program was impacted by the COVID-19 pandemic. Many facilities remained closed, impacting plans to gather employee and supervisor input. NARA took the opportunity to continue and expand our FY 2020 efforts to provide regular learning opportunities and resources focused on developing technical skills. We offered more than 100 live events to more than 1,500 employees in FY 2021. NARA also deployed a suite of technology-focused job aids designed to build core technology skills for the systems most frequently used by NARA employees.

Federal Records Management Programs

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

NARA Strategic Plan Progress (FY 2018-2022)

The following FY 2021 accomplishments were in support of NARA's strategic goal to have policies and processes in place to support federal agencies' transition to fully electronic recordkeeping by FY 2022.

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

In June 2019, OMB and NARA issued the joint memorandum [OMB M-19-21: Transition to Electronic Records](#). This memorandum directs all federal agencies to ensure that federal records are created, retained, and managed in electronic formats, with appropriate metadata. In September 2020, NARA issued [NARA Bulletin 2020-01: Guidance on OMB/NARA Memorandum Transition to Electronic Records \(M-19-21\)](#). This bulletin provided agencies with clarifying guidance related to the OMB/NARA memorandum, including information on how agencies should submit exception requests to M-19-21's requirements.

Presidential Transition Guidance

The Office of the Chief Records Officer for the U.S. Government (CRO) supported the 2020 presidential transition by communicating the importance of federal records management during transition. CRO staff updated guidance and information resources, delivered briefings to agency officials, and published [articles on Records Express](#) for federal agencies and public stakeholders. In November 2020, the Archivist of the United States signed a [memorandum](#) to agency heads reminding them of their responsibilities to meet their agency's legal obligations, promote effective business operations during the transition, and preserve their agency's enduring historical record.

In addition, NARA worked with the Partnership for Public Service (PPS) to advocate for records management with transition teams, including authoring a November 2020 [blog post](#) for the PPS website.

Office of the Chief Records Officer Outreach Activities

Outreach Events. The CRO's primary outreach activity was hosting the [Bimonthly Records and Information Discussion Group](#) (BRIDG) meetings that were streamed live on YouTube and have been viewed over 10,300 times. In FY 2021, the CRO held five BRIDG meetings on topics including NARA's draft strategic plan, how the Federal Records Centers were assisting veterans during COVID, new requirements for tribal consultations when scheduling records, and records management during an administration transition. Additional meeting topics included updates on NARA's records management training, oversight, and guidance. In addition to BRIDG, the CRO hosted five meetings of the [Federal Records Management Council](#), an interagency council that provides input, advice, and recommendations to NARA on records management issues.

SAORM Engagement. There are over 120 Senior Agency Officials for Records Management (SAORMs) that are appointed at the Assistant Secretary-level or equivalent at agencies that are subject to the Federal Records Act. The CRO hosted two virtual meetings for all SAORMs, one in November 2020 and one in May 2021. The November 2020 meeting focused on NARA Bulletin 2020-01 and on agency records management responsibilities during a change of presidential administration. The May 2021 discussion covered a wide range of topics that included SAORM roles and responsibilities, lessons learned from RM reporting and oversight activities, strategic planning for records management and the M-19-21 targets, and resources for records management success, including training and FERMI. NARA's Chief Records Officer for the U.S. Government, held ten virtual meetings with new agency SAORMS to discuss their roles and responsibilities, share how the CRO staff could support their work, and inform them of the current records management issues their agencies faced.

External Engagement. In FY 2021, the CRO staff participated in 42 virtual outreach events, including speaking at meetings hosted by the General Counsels Exchange, Federal Web Managers, GSA Federal Acquisition Service Training, and CIO Council. NARA staff spoke at conferences for professional organizations and workshops hosted by media and vendor groups. These presentations communicated the importance of transitioning to a fully digital government and electronic records management.

Microsoft Engagement. During FY 2021, the CRO staff continued to manage a Microsoft 365 user community of nearly 500 agency records and information staff. NARA held monthly meetings that included presentations from experts. The success of this engagement has led to recurring meetings with Microsoft technical experts to address records management concerns with the Microsoft 365 platform.

Records Management Policy

Interagency Collaboration and Records Management. In FY 2021, General Services Administration's Office of Government-wide Policy (OGP) requested that NARA update [NARA Bulletin 2009-02: Guidance Concerning Managing Records in Multi-agency Environments](#). This bulletin provides records management guidance to agencies when using collaborative platforms. OGP is working on a government-wide policy and technical solutions to better allow agencies to collaborate, in part due to the pivot to remote work caused by the pandemic. OGP recognized there are records management implications for interagency collaboration tools and consulted with NARA for input. The CRO and OGP agreed to develop a formal records management assessment of collaborative platforms in the federal government. The CRO and OGP held two focus groups with a dozen agencies on this topic and the assessment will be released in FY 2022.

Records Management Standards

Digitization Standards. NARA continued work on the regulation to establish standards for digitizing analog originals of permanent records with a view to the disposal of the original records. NARA revised the draft regulation based on the comments from the agency review period. The revised draft of the regulation addressed standards for image quality, completeness of scanning jobs, and metadata for digitized permanent records. The Federal Register issued the draft for public review and comment and NARA received over 115 comments. The CRO addressed the comments and revised the draft to support mass digitization projects. NARA will submit a revised draft to OMB in FY 2022 and expects to issue the final regulation in FY 2022.

International Records Management Standards. In FY 2021, NARA staff participated in the International Organization for Standardization (ISO) technical committees TC 46/SC 11 (Archives/records management), TC 171 (Document management applications), and TC 42 Joint Working Group 26 (Imaging system capability qualification for archival recording and approval).

NARA staff held several roles in TC 46/SC 11. NARA was the convenor for the project to analyze and provide recommendations on the need to establish a formal working group. NARA staff also served on the working group for records management in structured data environments. NARA staff served as the project leader in a working group on issues and considerations for managing records in structured data environments. NARA staff also participated in the working groups for blockchain, metadata, and management systems for records

PDF Standards. NARA staff participated as technical experts in TC 171/SC 2 WG 5, which published an updated standard for the PDF/A format. NARA staff also participated in efforts to develop ISO 19264-2, a standard for analyzing digitized image quality and characteristics. NARA contributed to the development of use cases for including engineering content in PDF containers as well as use cases for the standardization of metadata in 3D PDF format.

NARA also contributed to a project funded by the Andrew W. Mellon Foundation to develop and [publish a standard](#) for packaging and representing email messages in PDF containers. As a participant in the Federal Agency Digital Guidelines Initiative (FADGI) Still Image Working Group, NARA developed a new technical standard for mass digitization of modern paper records.

Records Scheduling and Appraisal

Capstone Approach. In FY 2021, NARA approved 33 disposition requests for email scheduled under the General Records Schedule (GRS) Capstone approach, bringing the total of approved Capstone forms to 227. [NARA's General Records Schedule \(GRS\) 6.1, Email Managed under a Capstone Approach](#), provides disposition authority for agencies implementing a Capstone approach to email management. In addition, NARA developed and released a new version of the [NA-1005 Verification form](#) that will expedite the creation, review, and implementation of Capstone forms for NARA and federal agencies.

Records Scheduling Backlog Project. NARA defines its backlog of schedules as those that have been submitted more than two fiscal years prior. The current number of backlog schedules was 61 at the start of this fiscal year, a decrease from the FY 2020 backlog of 67 schedules. In FY 2021, NARA closed 25 schedules. NARA will continue to prioritize reducing the number of backlog schedules.

General Records Schedules. NARA began researching and drafting GRS related to COVID-19. In FY 2020 and 2021, NARA researched potential items for the GRS related to COVID-19 attestations, testing, and related records. Based on discussions with federal agencies and OPM guidance, NARA expects to issue draft GRS items in FY 2022 for public review and comment. NARA continues to work on revisions and additions to the GRS.

Records Management Oversight and Reporting

Federal Agency Records Management Annual Report 2020. This consolidated report provides a summary analysis on the state of federal records management programs based on annual reports submitted to NARA. In 2020, NARA required three related but separate submissions covering the following activities in 2020:

- **Records Management Self-Assessment.** Since 2009, NARA has been administering the annual Records Management Self-Assessment (RMSA). This assessment requires agency records officers to provide NARA with an evaluation of their individual agency's compliance with federal records management statutes, regulations, and program functions. [RMSA reports](#) are available on NARA's website.
- **Senior Agency Official for Records Management Reports.** NARA requires the SAORMs to report annually their progress towards the transition to electronic records in line with OMB/NARA M-19-21, the impact of COVID-19, and other strategic initiatives and challenges for records management. [SAORM annual reports](#) are available on NARA's website.
- **Federal Electronic Records and Email Management Maturity Reports.** In 2016, NARA introduced the use of maturity models to measure the effectiveness of email management. In 2019, NARA added electronic records management into the model. The models use specific success criteria for managing these types of records to allow agencies to evaluate their program. [Federal electronic and email management annual reports](#) are available on NARA's website.

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. [Records management inspection reports](#) are available on NARA's website.

In FY 2021, NARA completed inspections of the Department of Energy, and selected boards, commissions and foundations.

Permanent records of the Department of Energy. This inspection included records created by Bonneville Power Administration, Energy Information Agency, National Nuclear Security Agency, Southeastern Power Administration, Southwestern Power Administration, Western Area Power Administration, Office of Management within the Office of the Secretary, Office of Intelligence and Counterintelligence, the Office of Environmental Management at the Hanford Site, the Office of Science at Pacific Northwest National Laboratory, and the Office of Environmental Management at Savannah River Site.

Boards, commissions and foundations records management programs. This multi-agency inspection specifically examined the operations of small agency records management programs. The participating agencies were Barry Goldwater Scholarship and Excellence Foundation, Denali Commission, James Madison Memorial Fellowship Foundation, U.S. Commission of Fine Arts, and the U.S. Nuclear Waste Technical Review Board.

Additional inspections conducted during FY 2021 with reports expected to be available in FY 2022 include: American Battle Monuments Commission, Farm Credit Administration, the permanent records of the Department of Treasury, executive secretariats, and permanent records of regulatory agencies.

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 54 approved plans of corrective actions, and an additional 22 are pending creation and approval. During FY 2021, NARA tracked 763 individual recommendations and 161 of those recommendations were closed.

Summary reports. NARA produced summary reports from the data gathered by inspections in order to more broadly disseminate our findings and recommendations and identify common challenges. The [Summary Report of the Department of Defense Inspections Fiscal Years 2017-2021](#), summarizes the state of records management programs within the Department of Defense, and two Semi-Annual Reports of Oversight Activities summarize activities from [July 1 through December 31, 2020](#) and [January 1 through June 30, 2021](#).

Records management assessments. An assessment is an evaluation of a specific records management topic, issue, or activity affecting RM processes, procedures and policies. Assessments are useful for both NARA and federal agencies to evaluate records management practices and inform guidance, policy, training, and tools. In FY 2021, NARA completed three assessments: [Big Bucket Schedule Implementation](#), [Records Management Self-Evaluations by Federal Agencies](#), and [History Collections Maintained by Federal Agencies](#).

The following three additional assessments were started in late FY 2021 with final reports expected for publication in FY 2022:

- Records of Collaborative Tools in Use by Federal Agencies
- Onboarding and Exiting Federal Employees
- Chief Data Officers Relationships with Agency Records Management Programs

Published [Assessment reports](#) are available on NARA's website.

Electronic records systems audits. The Office of the Chief Records Officer developed baseline standards and procedures for conducting audits of electronic records systems. Agency audits will begin in FY 2022.

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 tracks each allegation and communicates with the agency until the issue is resolved. To support transparency and open government, specific information about reportings and findings of [alleged unauthorized disposition of federal records](#) is available on NARA's website.

NARA Records Management Training for Agencies

NARA's Records Management Training Program continued to leverage online learning technology for records officers with the Agency Records Officer Credential (AROC) in FY 2021. NARA also increased role-based training materials for records custodians, records liaisons, and agency records officers, which are available on NARA's website at:

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

The Records Management Training Program enrolled 55 agency records officers (AROs) in the AROC program in FY 2021. Training Program staff were designated as mentors to assist each records officer working through the AROC curriculum and held weekly support sessions to address any questions on assignments and key concepts. The AROC was awarded to 15 AROs in FY 2021. Of those who participated in the training and received their credential, 86 percent reported they were "strongly satisfied" with their experience. One hundred percent of those who received their credential used an AROC mentor throughout the process and reported a positive experience.

NARA's [Records Management Instruction Support](#) (ReMIS) services provided the customized eLearning course RM Fundamentals for agencies to train their staff. In FY 2021, ReMIS completed 52 individual requests from 37 agencies and three non-federal organizations. NARA developed and delivered 21 versions of RM Fundamentals to agencies for training their staff.

NARA will stop accepting analog records as of December 31, 2022. The following legislative changes would facilitate implementation and improve the outcome. These changes would provide the Archivist of the United States with the authority to force action on records that are past their disposition date or currently 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 head of such agency has certified in writing to the Archivist <u>the Archivist determines, after consulting with the head of such agency</u>, that such records must be retained in the custody of such agency for use in the conduct of the regular business of the agency;</p> | <p>This change would permit the Archivist of the United States to unilaterally take legal custody of <i>permanent records</i> that are past their scheduled disposition date but have not been voluntarily transferred to NARA by the originating agency.</p> <p>NARA currently stores approximately 27 million cubic feet of other agencies' records in the Federal Records Centers Program. Approximately 1.5 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 \$7.7 million per year.</p> |
| <p>§ 2904. General responsibilities for records management</p> <p>(d) The Archivist shall promulgate regulations requiring all Federal agencies to transfer all digital or electronic records to the National Archives of the United States in digital or electronic form to the greatest extent possible.</p> | <p>This change would support the transition to fully digital government by directing the Archivist of the United States to establish regulations requiring the transfer of <i>all</i> records to the National Archives in digital or electronic form, to the fullest extent possible.</p> |

| Provision | Analysis |
|---|--|
| <p>§ 3303a. Examination by Archivist of lists and schedules of records lacking preservation value; disposal of records</p> <p>(e) The Archivist may approve and effect the disposal of records that are in the Archivist's legal custody, provided that records that had been in the custody of another existing agency may not be disposed of without the written consent of advance notice to the head of the agency.</p> | <p>This change would permit the Archivist of the United States to unilaterally dispose of <i>archival records</i> that no longer have historical value. Because NARA must provide for the continued storage and maintenance of these records, agencies have little incentive to concur in NARA disposal requests. As a result, NARA is currently spending resources to store records in our legal custody that we would otherwise dispose of.</p> <p>With the authority to unilaterally dispose of archival records, NARA could free up additional storage space and avoid future costs necessary to acquire new storage space for newly transferred records.</p> |
| <p>§ 3308. Disposal of similar records where prior disposal was authorized</p> <p>When it appears to the Archivist that an agency has in its custody, or is accumulating, records of the same form or character as those of the same agency previously authorized to be disposed of, he may empower direct the head of the agency to dispose of the records, after they have been in existence a specified period of time, in accordance with regulations promulgated under section 3302 of this title and without listing or scheduling them.</p> | <p>This change would permit the Archivist of the United States to direct agencies to dispose of <i>temporary records</i> that are past their scheduled disposition date and <i>unscheduled records</i> that would be temporary if they had been appropriately scheduled.</p> <p>NARA currently stores approximately 27 million cubic feet of other agencies' records in the Federal Records Centers Program. Approximately 1.5 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 \$7.7 million per year.</p> |

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