National Archives and Records Administration

NATIONAL ARCHIVES

FY 2016

CONGRESSIONAL JUSTIFICATION

February 2, 2015

National Archives and Records Administration

SUMMARY of the FY 2016 REQUEST

Fiscal Year 2016 Budget Request

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Summary of the Request

The FY 2016 budget of the National Archives and Records Administration (NARA) requests $389 million in discretionary appropriations. This is an increase of $7.3 million from the FY 2015 enacted level. Within the aggregate request, $372 million is requested for the Operating Expenses appropriation, $4.2 million is requested for the NARA Office of Inspector General, $7.5 million is requested for Repairs and Restoration of NARA-owned buildings, and $5 million is requested for the National Historical Publications and Records Commission (NHPRC) Grants Program.

Appropriations Request
(Dollars in Thousands)

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
Operating Expenses Appropriation	$ 370,000	$ 365,000	$ 372,393
Office of Inspector General	4,130	4,130	4,180
Repairs and Restoration	8,000	7,600	7,500
NHPRC Grants Program	4,500	5,000	5,000
Total Appropriations Request	**$ 386,630**	**$ 381,730**	**$ 389,073**

NARA's budget requests $368 million in net budget authority. NARA net budget authority is calculated as the appropriation request, minus amounts used for repayments of principal on debt held by the public that was used to finance the construction of the National Archives facility at College Park, MD. Repayments of principal are provided from the Operating Expenses appropriation. For FY 2016, this amount totals $21.2 million. NARA will complete repayment on this debt in FY 2019.

Summary of Discretionary Budget Authority
(Dollars in Thousands)

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
Operating Expenses:			
Operating Expenses Appropriation	*$ 370,000*	*$ 365,000*	*$ 372,393*
Redemption of Debt	*-17,955*	*-19,514*	*-21,208*
Operating Expenses Net Budget Authority	$ 352,045	$ 345,486	$ 351,185
Office of Inspector General	4,130	4,130	4,180
Repairs and Restoration	8,000	7,600	7,500
NHPRC Grants Program	4,500	5,000	5,000
NARA Discretionary Budget Authority	**$ 368,675**	**$ 362,216**	**$ 367,865**

NARA's budget requests an increase of 32 FTE and $7.3 million from the FY 2015 enacted level, based on the following changes:

(1)   *An increase of $2.1 million to provide for the FY 2016 pay raise (1.3%) and the annualization of the FY 2015 pay raise (1%). This request would provide $2.1 million for NARA* <u>Operating Expenses</u>*, and an additional $50 thousand to the* <u>Office of the Inspector General</u>*.*

(2)   *Reductions totaling -$5.4 million, including -$5.3 million in program efficiency savings and real property consolidation savings in NARA* <u>Operating Expenses</u>*, and - $100 thousand in reductions to the* <u>Repairs and Restoration</u> *appropriation.*

(3)   *An increase of $7.0 million and 10 FTE to NARA* <u>Operating Expenses</u>*, to prepare for the smooth transfer of Executive power in the FY 2017 Presidential Transition. Funds requested would be used to acquire, fit-out, and secure temporary storage space for the substantial volume of Presidential records and artifacts that will be transferred to NARA's physical custody as a part of the Transition. New FTE are requested to begin preparations to receive Presidential records and artifacts, and to provide for the management and administration of the temporary storage facility.*

(4)   *An increase of $2.5 million and 17 FTE to NARA* <u>Operating Expenses appropriation</u>*, to enhance NARA oversight of government-wide electronic records management activities. This initiative would provide NARA the capability to evaluate other Federal agencies' compliance with the Federal Records Act and NARA/OMB Managing Government Records Directive (M-12-18) through direct physical inspections, systems audits of agency recordkeeping systems, and enhanced data collection, analysis, and reporting.*

(5)   *An increase of $1.1 million and 5 FTE to NARA* <u>Operating Expenses</u>*, to establish a Digital Service Team at NARA. Funds requested would be used to hire digital service experts with private sector experience in the disciplines of design, software engineering, and product management. The Digital Service Team would transform those NARA digital services with the greatest impact to citizens and businesses so they are easier to use and more cost-effective to build and maintain.*

Legislative Proposal

NARA's FY 2016 budget request proposes new Appropriations language that would allow NARA to re-purpose unobligated balances of the Repairs and Restoration appropriation that are currently restricted to the Franklin D. Roosevelt Presidential Library renovation project. Removing this restriction would allow NARA to allocate previously-appropriated and otherwise available balances to other critical capital projects, particularly the installation of new, on-site renewable energy projects at NARA-owned facilities. NARA proposes to use the re-purposed funds to provide for two renewable energy projects at NARA facilities in Atlanta, GA and other capital improvement projects, including necessary renovations to the Dwight D. Eisenhower Presidential Library and Museum, which is the top priority on NARA's annual Capital Improvement Plan.

NARA Mission, Vision, and Goals

The FY 2014 – FY 2018 NARA Strategic Plan established a new vision, mission, and strategic goals that renew NARA's focus on openness, transparency, and citizen engagement through public access to government records. NARA's new strategic framework adds context and a higher purpose for operational activities, drives increased coordination between programs, and sets priorities for improved resource allocations.

VISION

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

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

MISSION

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

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

STRATEGIC GOALS

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

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

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

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

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.

TRANSFORMATIONAL OUTCOMES

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

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

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

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

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

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

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

VALUES

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

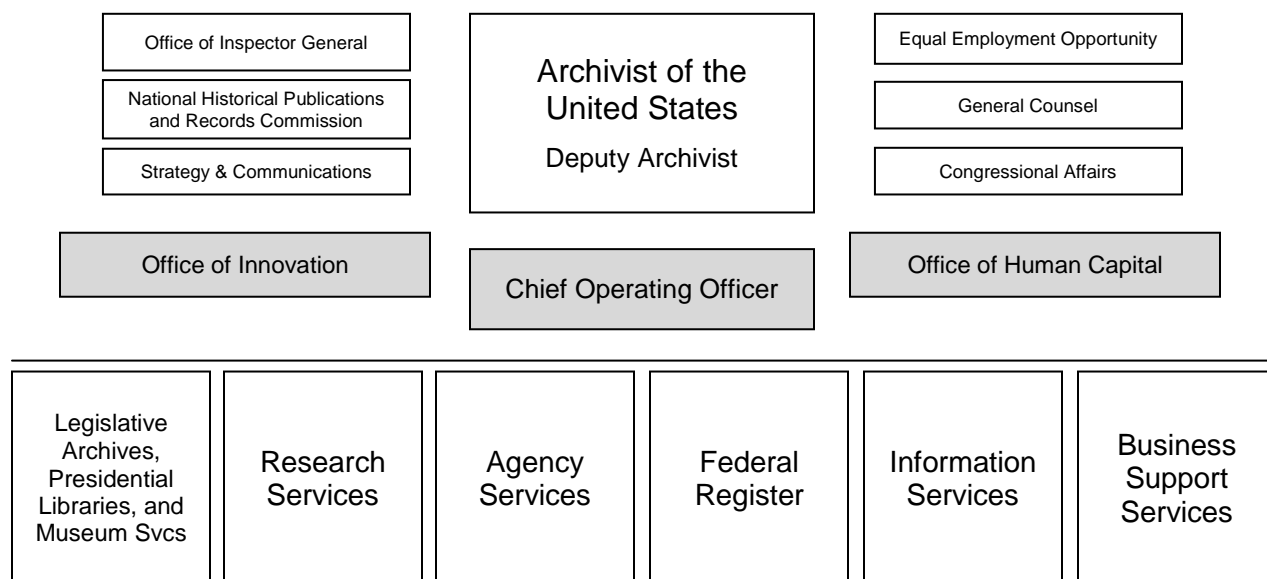*Innovate*—Encourage creativity and invest in innovation to build our future.

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

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.

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. The structure deliberately creates interdependencies between organizational units, to eliminate duplication of processes and resources, create a more flexible and adaptable organization, and promote shared accountability for the performance of the agency as a whole.

National Archives and Records Administration

Office of Inspector General	Archivist of the United States	Equal Employment Opportunity
National Historical Publications and Records Commission		General Counsel
Strategy & Communications	Deputy Archivist	Congressional Affairs

| Office of Innovation | Chief Operating Officer | Office of Human Capital |

| Legislative Archives, Presidential Libraries, and Museum Svcs | Research Services | Agency Services | Federal Register | Information Services | Business Support Services |

- *Legislative Archives, Presidential Libraries, and Museum Services* focuses on the records needs of the White House and Congress, researchers who make use of Presidential and Congressional records, and museum visitors, educators, and students.

- *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.

- *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.

- *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.

- *Information Services* and *Business Support Services* improve NARA's efficiency and effectiveness by providing tools, services, facilities, and expertise that support agency operations.

Summary of Requested Appropriations Action
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Operating Expenses:			
Legislative, Presidential, and Museum Services	$ 105,877	$ 104,386	$ 109,092
Citizen Services	103,248	100,904	101,343
Agency and Related Services	76,032	81,533	83,571
Facility Operations	84,796	78,177	78,387
Total Appropriation	$ 369,953	$ 365,000	$ 372,393
Redemption of Debt	*-17,955*	*-19,514*	*-21,208*
Net Budget Authority	*$ 351,998*	*$ 345,486*	*$ 351,185*
Office of Inspector General	3,777	4,130	4,180
Repairs and Restoration	10,831	7,600	7,500
NHPRC Grants Program	5,052	5,000	5,000
Total Appropriations Request	**$ 389,613**	**$ 381,730**	**$ 389,073**
Discretionary Net Budget Authority	*$ 371,658*	*$ 362,216*	*$ 367,865*
Full-Time Equivalents (FTE)	**2,892.0**	**2,995.0**	**3,029.0**

Total Discretionary Obligations by Object Classification
(Dollars in Thousands)

		FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
11.1	Full-time, permanent..	$ 126,568	$ 131,794	$ 136,028
11.3	Other than full-time permanent.............................	449	1,006	1,018
11.5	Other personnel compensation.............................	1,800	1,638	1,659
11.8	Special personal services payments....................	58	59	59
12.1	Civilian personnel benefits....................................	37,552	39,571	41,562
13.0	Benefits for former personnel...............................	100	160	160
21.0	Travel and transportation of persons....................	832	987	1,138
22.0	Transportation of things...	461	236	436
23.1	Rental payments to GSA..	6,481	6,957	7,851
23.2	Rental payments to others.....................................	1,062	1,027	1,033
23.3	Communications, utilities, and misc. charges.....	14,360	13,474	13,374
24.0	Printing and reproduction......................................	872	754	754
25.1	Advisory and assistance services........................	24,876	21,474	18,974
25.2	Other services from non-Federal sources...........	27,452	21,912	22,125
25.3	Other goods and services from Federal sources	17,142	16,662	16,727
25.4	Operation and maintenance of facilities...............	34,156	32,324	32,513
25.5	Research and development contracts.................	169	185	185
25.7	Operation and maintenance of equipment...........	33,349	34,544	36,404
26.0	Supplies and materials..	2,888	2,937	3,143
31.0	Equipment...	12,547	13,058	13,058
32.0	Land and structures...	12,409	8,980	14,500
41.0	Grants, subsidies, and contributions....................	5,052	5,060	5,000
42.0	Insurance claims and indemnities........................	7	0	0
43.0	Interest and dividends...	11,016	9,457	7,764
94.0	Financial transfers...	17,955	19,514	21,208
99.0	**Obligations, appropriated................................**	**$ 389,613**	**$ 383,770**	**$ 396,673**
	Subtotal, PC&B...	*166,527*	*174,228*	*180,486*
	Subtotal, non-labor.....................................	*223,086*	*209,542*	*216,187*

Note: FY 2014 actual obligations include obligations of available balances from prior year appropriations.

National Archives and Records Administration

OPERATING EXPENSES

Fiscal Year 2016 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, **$372,393,000.**

Program Description

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

- *Legislative Archives, Presidential Libraries, and Museum Services.*—This activity provides for the Center for Legislative Archives and the Office of Presidential Materials, which provide records management services to Congress and the White House; the Presidential Libraries of thirteen former Presidents; and nationwide education, outreach, and exhibits programs, including the National Archives Museum in Washington, DC.

- *Citizen Services.*—This activity provides for public access to and engagement with permanently valuable Federal government records by the researcher community and the general public at public research rooms, on-line at www.archives.gov, and through innovative tools and technology to support collaboration with the public.

- *Agency and Related Services.*—This activity provides for the services NARA provides to other Federal agencies, including records management, appropriate declassification of classified national security information, oversight of the classification system and controlled, unclassified information, and improvements to the administration of the Freedom of Information Act by the Office of Government Information Services; the electronic records management activities of the Electronic Records Archives system; and publication of the Federal Register, U.S. Statutes-at-Large, and Presidential Papers.

- *Facility Operations.*—This activity provides for the operations and maintenance of NARA facilities, including interest payments and repayments of principal on debt associated with construction of the National Archives building at College Park, MD. Appropriations for repayments of principal ("redemption of debt") are excluded from NARA budget authority.

Explanation of Changes
(Dollars in Thousands)

	FTE	Budget Authority
FY 2015 Enacted level..	1,600.0	$ 365,000
FY 2016 Appropriation request......................................	1,632.0	372,393
Net Change..	32.0	$ 7,393

	FTE	Budget Authority
Maintaining Current Levels:		
FY 2016 pay raise and annualization of FY 2015 pay raise		$ 2,072
Program Decreases:		
Program efficiency savings	0.0	-$ 5,036
Real property consolidation savings		-274
Subtotal, Program Decreases...............................	0.0	-$ 5,310
Program Increases:		
Prepare for the FY 2017 Presidential Transition	10.0	$ 7,018
Enhance Oversight of Agency Electronic Records Mgmt	17.0	2,500
Staffing costs to establish a Digital Service Team	5.0	1,113
Subtotal, Program Increases...............................	32.0	$ 10,631
Net Change...	**32.0**	**$ 7,393**

The FY 2016 budget requests an appropriation of **$372,393 thousand and 1,632 FTE** for NARA Operating Expenses. This reflects a net increase of $7,393 thousand and 32 FTE from the FY 2015 enacted level, which is the result of the following changes:

(1)   An increase of **$2,072 thousand**, to provide for the FY 2016 pay raise (1.3 percent) and the annualization of the FY 2015 pay raise (1.0 percent).

(2)   Program reductions totaling **-$5,310 thousand**, including:

   −   -$5,036 thousand in program efficiency savings, primarily salary and FTE savings from NARA's hiring freeze, and a number of smaller reductions to activities not directly focused on program delivery.

   −   -$274 thousand in real property consolidation savings. Savings will come from moving the Office of Federal Register out of leased space and into the Government Publishing Office headquarters building in Washington, D.C.

(3)   Program increases of **$10,631 thousand and 32 FTE**, including:

   − $7,018 thousand and 10 FTE to prepare for the smooth transfer of Executive power in the FY 2017 Presidential Transition and allow the Archivist of the United States to effectively perform the responsibilities assigned to him by the Presidential Records Act (44 USC §§ 2201–2207). The funds requested would be primarily used to acquire, fit-out, and secure temporary storage space for the substantial volume of Presidential records and artifacts that will be transferred to NARA's physical custody as a part of the Transition.

   − $2,500 thousand and 17 FTE to enhance NARA oversight of government-wide electronic records management activities. This initiative would provide NARA with the capability to evaluate other Federal agencies' compliance with the Federal Records Act and NARA/OMB Managing Government Records Directive (M-12-18) through direct physical inspections, systems audits of agency recordkeeping systems, and enhanced data collection, analysis, and reporting. The funds requested would be used to hire a dedicated staff to conduct site visits and physical inspections of agency records management practices, and to test agency compliance with electronic recordkeeping mandates in the Managing Government Records Directive.

   − $1,113 thousand and 5 FTE to transform those NARA digital services with the greatest impact to citizens and businesses so they are easier to use and more cost-effective to build and maintain. The funds requested would be used to hire digital service experts with private sector experience in the disciplines of design, software engineering and product management to improve the delivery of NARA digital services to the public.

Presidential Transition

NARA's request includes $7,018 thousand and 10 FTE to provide for activities necessary to prepare for the FY 2017 Presidential Transition and allow the Archivist of the United States to effectively perform the responsibilities assigned to him by the Presidential Records Act (44 USC §§ 2201–2207). Immediately upon the conclusion of the President's term of office, the Archivist of the United States will assume custody and control of the Presidential records and artifacts created during the Administration. The Archivist will be responsible for the storage of such Presidential records in a Presidential archival depository, as well as the preservation of and access to those records and artifacts.

Funds requested in FY 2016 would provide for:

− *Acquisition, fit-out, and security for a temporary storage site, $4,130 thousand.* The Presidential Libraries Act (at 44 U.S.C. § 2112) provides that permanent Presidential archival depositories will be constructed using non-Federal funds; however, NARA must provide for the temporary, secure storage of Presidential records and artifacts until a permanent facility is completed and transferred to government control.

   Funds requested would provide for the acquisition and improvement of a temporary storage facility near the location designated by the President as the site of his future Library. Necessary improvements include the installation of environmental control systems, shelving, and appropriate security systems necessary to preserve and secure Presidential records and artifacts. Funds are also requested for contract guard service, utilities, and facility maintenance. NARA must acquire a temporary facility in FY 2016 to ensure the timely and efficient transfer of Presidential records and artifacts beginning in the Fall of FY 2017.

− *New staff to prepare to receive Presidential records and artifacts, and provide for the management and administration of the temporary storage facility, $1,588 thousand.* Presidential records will subject to special access requests by the outgoing and incoming Administration, Congress, and the Courts immediately upon their transfer to NARA's legal custody on January 20, 2017. NARA must gain intellectual control over Presidential records, including millions of emails and electronic records, well in advance of the Presidential Transition in order to effectively respond to special access requests.

   NARA's request includes funding for the salaries and related expenses of 10 new hires, as well as the annualization of new FTE provided in the FY 2015 enacted level. NARA's request would provide for six archival staff and two registrars to support the management of Presidential records and artifacts and participate in the physical transfer of Presidential materials to the National Archives. NARA's request also includes two administrative staff to manage the operation of the temporary storage facility.

− *Design and acquisition of Information Technology equipment to transfer electronic Presidential records, $1,300 thousand.* NARA will be required to capture, transport, and ingest millions of electronic Presidential records in multiple formats, in support of the Presidential Transition. NARA must design and acquire equipment necessary to physically transport very large volumes of electronic records to NARA facilities and then transfer those records to permanent storage within the National Archives.

NARA's request includes funds to analyze electronic Presidential records and design a process and devices to transport those records. Funds are also requested to design processes for basic archival access to President Obama's electronic records and processes to fulfill special access requests.

Enhanced Oversight of Agency Electronic Records Management

NARA's request includes $2,500 thousand and 17 FTE to enhance oversight of government-wide electronic records management activities. This initiative would bolster NARA oversight over traditional records management activities and allow NARA to test Federal agencies' compliance with electronic recordkeeping mandates. This initiative would help to ensure the effective management and appropriate preservation of Federal records by identifying and addressing the most serious records and information management compliance issues across the Government.

This initiative will provide NARA with new capabilities to:

(1) Evaluate and understand records management compliance issues that have the greatest impact on permanent Federal records. This initiative would provide NARA with the staff necessary to perform site visits and physical inspections of Federal agencies' records management practices. This increased physical presence will allow NARA to better assess agency compliance and understand practical challenges to meeting Federal recordkeeping requirements. NARA would balance and support enhanced compliance activities by dedicating additional resources to data analysis and reporting on best practices and innovative solutions to improve the retention and preservation of permanent Federal records that are still in the custody and control of the originating agencies.

(2) Analyze specific email or electronic records management systems to evaluate compliance with statutes, regulations, and policy, and to identify and promote best practices. This initiative would provide NARA with the staff resources necessary to conduct system audits of agency information systems that store Federal records, including email. This initiative would provide NARA with the capability to assess the functionality of records management systems, including conducting "stress testing" and data analytics to ensure that email and other electronic records systems effectively identify and appropriately retain permanent electronic records.

(3) Respond rapidly and in a technical manner on agency-specific or government-wide email or electronic records management compliance issues so as to be responsive to Congress, OMB, and external stakeholders. This initiative would provide NARA with a body of technical subject matter experts that would be available to converge on emerging issues and quickly develop new policies and practices to address records management compliance issues.

Establish a Digital Service Team

NARA's request includes $1,113 thousand and 5 FTE to establish a Digital Service Team to improve the success rate of NARA digital services. This initiative would allow NARA to hire digital service experts with modern design, software engineering and product management skills, to ensure that NARA can effectively build and deliver important digital services. The new Digital Service Team would focus on transforming those NARA digital services with the greatest impact to citizens and businesses so they are easier to use and more cost-effective to build and maintain.

This initiative would provide NARA with digital service experts with private sector experience in the disciplines of design, software engineering and product management. The positions would be term-limited – to encourage a continuous influx of up-to-date design and technology skills into the agency – and would be recruited from among America's leading technology enterprises and startups. The digital service experts would join NARA technical and policy leaders to deliver meaningful and lasting improvements to the services NARA provides to citizens and businesses.

This initiative would build on the success of the United States Digital Service team, created by the Office of Management and Budget (OMB) in 2014. Since establishment, this small OMB team has worked in collaboration with Federal agencies to implement cutting edge digital and technology practices on the nation's highest impact programs, including the successful re-launch of HealthCare.gov in its second year, which led to millions of Americans receiving health coverage, the Veterans Benefits Management System, online visa applications, green card replacements and renewals, among others. In addition to their work on these high priority projects, this small team of tech experts has worked to establish best practices (as published in the U.S. Digital Services Playbook) and to recruit still more highly skilled digital service experts and engineers into government.

Amounts Available for Obligation

(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Transfer in from trust fund accounts………………	$ 633	$ 600	$ 600
Discretionary authority:			
Annual appropriation..	$ 370,000	$ 365,000	$ 372,393
Net Discretionary authority.........................	**$ 370,000**	**$ 365,000**	**$ 372,393**
Reimbursable authority:			
New spending authority collected.........................	$ 1,496	$ 1,259	$ 1,268
Change in uncollected payments.........................	$ 0	$ 0	$ 0
Subtotal, reimbursable authority.....................	$ 1,496	$ 1,259	$ 1,268
Unobligated balance, expiring..................................	-$ 680	$ 0	$ 0
Unobligated balance, reimbursable..........................	$ 0	$ 0	$ 0
Total obligations...	$ 371,449	$ 366,859	$ 374,261
Obligations, appropriated....................................	**$ 369,953**	**$ 365,600**	**$ 372,993**
Obligations, reimbursable.......................................	$ 1,496	$ 1,259	$ 1,268
Net outlays	*$ 325,638*	*$ 353,317*	*$ 330,954*

Reimbursable Programs: In FY 2016, NARA anticipates providing reimbursable services to the National Archives Trust Fund (as authorized by 44 U.S.C. § 2302) in the amount of $1,268 thousand and 28 FTE. Reimbursable services provide for the costs of reproducing archival documents for sale to the public and other, related projects.

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

NARA Budget Activities

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

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

- *Legislative Archives, Presidential Libraries, and Museum Services* focuses on the records needs of the White House and Congress, researchers who make use of Presidential and Congressional records, and museum visitors, educators, and students nationwide.

- *Citizen Services.* — This activity includes:

    - The Research Services organization, which provides public access to original, archived government records for researchers and citizens and preserves archival holdings for the benefit of future generations.

    - The Office of Innovation, which provides public access to and engagement with government records through the internet at www.archives.gov, social media, and innovative tools that support collaboration with the public.

- *Agency and Related Services.*—This activity includes:

    - The Agency Services organization, which supports the records management needs of all Federal agencies and represents the public's interest in the transparency of those records;

    - Electronic records management, preservation, and access activities provided through the Electronic Records Archives (ERA) system, which is managed by the Information Services organization; and

    - The Office of the Federal Register, which fulfills a variety of statutory responsibilities, including publication of the daily Federal Register, the Code of Federal Regulations, and the U.S. Statutes-at-Large.

- *Facility Operations.*—This activity provides for the operations and maintenance of NARA facilities, which are managed by the Business Support Services organization, including interest payments and repayments of principal on debt associated with construction of the National Archives building in College Park, MD.

The Information Services and Business Support Services organizations provide tools, services, and expertise to support other NARA organizations' delivery of services to external stakeholders. Costs of these organizations – other than the costs of ERA – and the costs of agency-wide management and administration are allocated across NARA budget activities.

Obligations by Program Activity

(Dollars in Thousands)

	FY 2014 Actual		FY 2015 Enacted		FY 2016 Request	
	FTE	Dollars	FTE	Dollars	FTE	Dollars
1. Legislative, Presidential, and Museum Services:						
Presidential Libraries	375.0	$88,901	383.0	$87,463	393.0	$92,279
Legislative Archives, Presidential Materials, and Public Programs	95.0	16,976	96.0	16,923	96.0	16,813
Subtotal, LPM Services....................	470.0	$105,877	479.0	$104,386	489.0	$109,092
2. Citizen Services:						
Research Services	644.0	$89,054	691.0	$87,793	691.0	$87,221
Office of Innovation	82.0	14,194	76.0	13,111	81.0	14,122
Subtotal, Citizen Services................	726.0	$103,248	767.0	$100,904	772.0	$101,343
3. Agency and Related Services:						
Agency Services	246.0	$42,284	258.0	$44,591	275.0	$46,644
Electronic Records Archives	30.0	21,737	30.0	25,235	30.0	25,296
Federal Register	65.0	12,011	66.0	11,707	66.0	11,631
Subtotal, Agency and Related.........	341.0	$76,032	354.0	$81,533	371.0	$83,571
4. Facility Operations...................................	0.0	$84,796	0.0	$78,177	0.0	$78,387
Total, Appropriations Request...........	**1,537.0**	**$369,953**	**1,600.0**	**$365,000**	**1,632.0**	**$372,393**

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

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
LPM Services	$ 105,877	$ 104,386	$ 109,092

NARA's FY 2016 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- $72,212 thousand for the Presidential Libraries system, including $33,707 thousand for the operations and maintenance of facilities;

- $7,119 thousand for nationwide education, outreach, and exhibits programs;

- $2,589 thousand for the Center for Legislative Archives, which provides records management services for Congress; and

- $1,079 thousand for the Office of Presidential Materials, which provides records management guidance and courtesy storage for the incumbent administration and oversees special access and declassification at the Presidential Libraries.

An additional $26,093 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 2016 and future years:

- The January 20, 2017 Presidential Transition poses a significant challenge for NARA and its lead organization for transition, the Presidential Materials Division. NARA anticipates that the records of the current Administration will be the largest collection to date, and the volume and complexity of electronic records will far exceed that of previous Administrations. NARA typically begins receiving special access requests as soon as the Administration leaves office, so NARA must begin receiving and processing Presidential materials well before the end of an Administration. NARA will begin the transfer of Presidential records and artifacts in FY 2016 and transfers will continue up to Inauguration Day 2017. NARA will also need to acquire new space for temporary storage of Presidential materials and hire a new staff to meet the archival and access needs of the future Presidential Library.

- NARA has a significant backlog of unanswered Freedom of Information Act (FOIA) requests at Presidential Libraries covered by the Presidential Records Act (PRA). The PRA made Presidential records subject to disclosure through FOIA five years after the end of an administration, beginning with former President Reagan. Making Presidential records subject to FOIA has reduced the speed at which NARA can make Presidential records available to the public. NARA must review all Presidential papers page-by-page, which means it will take decades to make all of the records available to the public. Processing records in response to FOIA requests is even more time-consuming than processing the same number of pages in a systematic, archival fashion and does not produce discrete records collections that would be meaningful to the general public if released. NARA has received additional resources and made process improvements to speed the review of Presidential records to the extent possible.

- The Center for Legislative Archives has experienced a tremendous increase in the volume of textual and electronic records created by the U.S. House of Representatives, the U.S. Senate, and legislative commissions. Historical legislative records are stored at the National Archives building in Washington, DC, so that records are readily available to Congress when needed and so that NARA can make those records available to researchers in a controlled environment. Unfortunately, NARA's Washington, DC facility is nearly full, and NARA is currently exploring options for accepting and storing growing volumes of Congressional records at other facilities and geographic locations.

LPM Services Strategies and Actions

LPM Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2016:

1. By FY 2016, LPM Services will have the capability to rapidly ingest and manage high volumes of data from Congress and independent commissions, quickly transfer them into secure electronic storage, make them available for official government agency special access requests and, where appropriate, release them to the public.

2. By FY 2017, LPM Services will be able to accept all Presidential and Vice Presidential records that are available for transfer regardless of media or format and immediately begin archival processing for eventual public release.

LPM Services FY 2016 Budget Request

The FY 2016 budget request provides $109,092 thousand for LPM Services, a net increase of $4,706 thousand from the FY 2015 enacted level, including:

- *+$524 thousand for the FY 2016 pay raise and annualization of FY 2015 pay raise;*
- *+$4,935 thousand for costs related to the Presidential Transition;*
- *+$215 thousand for increases in contracts for the operations and maintenance of Library facilities; and*
- *-$968 thousand from decreases in allocated costs of management and administration, including information technology.*

Citizen Services
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Research Services	$ 89,054	$ 87,793	$ 87,221
Office of Innovation	14,194	13,111	14,122
Total	$ 103,248	$100,904	$ 101,343

NARA's FY 2016 request for *Citizen Services* includes:

- $55,609 thousand for the Research Services organization, for the archival storage and preservation of permanently valuable Federal government records and for continued access to those records by the researcher community and the general public;

- $9,083 thousand for the Office of Innovation, which leads NARA Open Government and Digital Government Strategy efforts, maintains NARA's web and social media presence, and provides innovative tools to enhance collaboration and engagement with the public.

An additional $36,651 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

Research Services Strategic Direction

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

Management challenges and opportunities for FY 2016 and future years:

- Lack of adequate storage space is a serious and growing threat to the ability of Research Services to accept new archival records and provide access to researchers and the public. NARA currently holds more than 4.7 million cubic feet of archival records, but it anticipates that an additional 3 million cubic feet of permanently valuable, historical records will be transferred to Research Services by FY 2030. NARA must have sufficient storage space that meets archival standards and sufficient staff to provide for the preservation, processing, description, and review for restrictions necessary to make these records available to the public now and in the future.

- Researchers and the public expect access to more contemporary records, yet modern government records are increasingly subject to varied and complex restrictions on access. Contemporary records often contain personally identifiable information (PII), national security, and other restrictions that require detailed review and screening before being released to the public. These records are often inadequately described for easy access. Furthermore, many finding aids for personal data series records also contain PII, making access and use of outside sources to describe and digitize these holdings especially challenging.

- Researchers and the public expect government information to be readily available and online, including information contained in archival records. NARA has developed relationships with private partners to assist in preparing, indexing, and digitizing historical records and making them available on-line. NARA has access to an active cadre of researchers and volunteers that assist in priority work and help improve reference services. NARA is exploring the use of social media, including wikis, blogs, and tagging, to allow citizens to add descriptions to NARA holdings: This helps to improve citizen engagement while increasing the volume of Federal government records that are searchable and can be accessed on-line.

Research Services Strategies and Actions

Research Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2016:

1. By FY 2016, Research Services will deploy a nationwide researcher registration system, to allow researchers to access records with a common researcher card that is usable at all NARA research facilities.

2. By FY 2017, Research Services will begin implementing a circulation system to improve physical control of records and better track usage of specific records

Research Services FY 2016 Budget Request

The FY 2016 budget request provides $87,221 thousand for Research Services, a net decrease of -$572 thousand from the FY 2015 enacted level, including:

- *+$601 thousand for the FY 2016 pay raise and annualization of the FY 2015 pay raise; and*
- *-$1,173 thousand from decreases in allocated costs of management and administration, including information technology.*

Office of Innovation Strategic Direction

The *Office of Innovation* leads NARA's Open Government and Digital Government Strategy efforts, and is responsible for digitizing records in traditional formats through in-house digitization labs and partnerships with private organizations that digitize NARA records at no cost to the Government. The Innovation Office provides on-line public access and encourages public engagement in historical government records by leading crowdsourcing initiatives, developing innovative public programs, and building relationships with external organizations, including Wikipedia and the Digital Public Library of America (DPLA).

Management challenges and opportunities for FY 2016 and future years:

- NARA actively collaborates with Wikipedia and Wikimedia. Since 2010, the Office of Innovation has added more than 127,000 digital copies of NARA records to Wikimedia Commons, resulting in over 5,700 NARA images that have been used in 44,000 Wikipedia articles. In FY 2013, NARA contributed 1.9 million digital copies of NARA records for the launch of DPLA, a collaborative effort between archives, libraries, and museums to create an on-line library and capture America's living history. Collaborations with these and other organizations have allowed NARA to expand public access to historical government records far beyond what could be done with NARA's tools and resources alone.

- There is a large and growing public demand for on-line access to government information and records. In FY 2014, NARA realized over 86 million page views of www.archives.gov and other NARA websites, and an additional 141 million views on social media platforms. "Today's Document", a Tumblr blog produced by the Office of Innovation, was named by Time Magazine as one of the Top 30 Tumblrs to follow in 2013. In FY 2014, Wikipedia pages containing NARA images received over 1 billion page views.

Office of Innovation Strategies and Actions

The Office of Innovation has adopted the following long-term performance goals to guide planning and resource allocations for FY 2016:

1. By FY 2016, 95 percent of NARA holdings will be described in the Online Public Access catalog, to provide researchers and the public with easy access to NARA records and information about those records.

2. By FY 2016, the Office of Innovation will deploy a public Application Programming Interface (API) for the Online Public Access catalog, to expand public use and re-use of historical government data.

Office of Innovation FY 2016 Budget Request

The FY 2016 budget request provides $14,122 thousand for the Office of Innovation, a net increase of $1,011 thousand from the FY 2015 enacted level, including:

- *+$84 thousand for the FY 2016 pay raise and annualization of the FY 2015 pay raise;*
- *+$1,114 thousand for staffing costs to develop a Digital Service team; and*
- *-$187 thousand from decreases in allocated costs of management and administration, including information technology.*

Agency and Related Services
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Agency Services	$ 42,284	$ 44,591	$ 46,644
Electronic Records Archives	21,737	25,235	25,296
Federal Register	12,011	11,707	11,631
Total	$ 76,032	$ 81,533	$ 83,571

NARA's FY 2016 request for *Agency and Related Services* includes:

- $31,634 thousand for the Agency Services organization, including $3,513 thousand for the Information Security Oversight Office, $6,805 thousand for the National Declassification Center, and $1,094 thousand for the Office of Government Information Services;

- $25,296 thousand for the electronic records management activities of the Electronic Records Archive system; and

- $7,367 thousand for the Office of the Federal Register.

An additional $19,274 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

Agency Services Strategic Direction

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

Management challenges and opportunities for FY 2016 and future years:

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

- NARA's National Declassification Center (NDC) has successfully retired the declassification backlog of previously reviewed records that existed in January 2010. Recently, the NDC completed quality assurance review for all classified series that were accessioned between January 2010, and December 31, 2013 and previously subject to automatic declassification. This review, which totaled nearly 31 million pages, addresses the records that were not part of the backlog work NDC staff completed in 2013. The NDC is now analyzing classified series that were accessioned in 2014, but the number of new, unprocessed records continues to grow. The declassification challenges facing NARA continue to grow as tens of millions of new pages require declassification processing annually, many of which require a more intensive declassification review and processing than the FY 2010 backlog.

- There is a growing need to find new, more cost-effective means to administer the Freedom of Information Act (FOIA). In FY 2010, Federal agencies reported spending $400 million to process nearly 600,000 FOIA requests, and received over 10,000 administrative appeals from denials of access. Agencies spent over $22 million on litigation-related activities. These statistics highlight the importance of the dispute resolution processes offered by the Office of Government Information Services (OGIS) as a cost effective tool for resolving FOIA disputes and an alternative to litigation.

Agency Services Strategies and Actions

Agency Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2016:

1. By FY 2016, Agency Services will improve the current Request for Records Disposition Authority process, and develop criteria that other Federal agencies can apply to the scheduling, appraisal, and overall management of temporary records that can be effectively monitored with appropriate NARA oversight.

2. By FY 2018, Agency Services will make substantive changes to the General Records Schedules (GRS) to reduce the scheduling and appraisal burden on agencies.

Agency Services FY 2016 Budget Request

The FY 2016 budget request provides $46,644 thousand for Agency Services, a net increase of $2,053 thousand from the FY 2015 enacted level, including:

- *+$321 thousand for the FY 2016 pay raise and annualization of the FY 2015 pay raise;*
- *+$2,290 thousand to enhance oversight of electronic records management; and*
- *-$557 thousand from decreases in allocated costs of management and administration, including information technology.*

Information Services Strategic Direction

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

The *Information Services* organization is a strategic partner with NARA programs, supporting diverse activities through the application of information technology and sound information management practices. Information Services provides information products and services to meet customer requirements, functions as one highly skilled and adaptable team, and strives for continuous improvement. Information Services evaluates new technologies and promotes research opportunities that support preservation of and access to Federal government records to assist NARA in facing the challenges of modern records management and archival science.

Management challenges and opportunities for FY 2016 and future years:

- Maintaining effective IT security remains a challenge for all Federal agencies, including NARA. NARA has identified security vulnerabilities which present risk to NARA systems and has developed an aggressive plan to address control deficiencies that threaten IT Security. In particular, NARA will focus on establishing Continuous Diagnostics and Mitigation (CDM) activities, which will provide automated vulnerability monitoring to aid NARA in rapidly detecting and responding to information security events. NARA will also assign dedicated resources to plan, track, and monitor risk remediation, particularly as NARA migrates more systems to cloud hosting environments, where NARA may require additional controls in order to meet information security obligations.

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

- The public expects government information and services to be available on-line and delivered through their channel of choice. For an increasing number of Americans, the channel of choice is their mobile device. NARA is already meeting this trend by increasing the volume of its holdings that are available on-line, including digitized analog collections, "born-digital" records, and web exhibits. NARA is evolving its information management strategy to quickly provide access to archival holdings on new technology platforms and in new formats, and make those holdings available in perpetuity.

Information Services Strategies and Actions

Information Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2016:

1. By FY 2019, Information Services will improve storage management and provide electronic processing tools so that NARA can manage all electronic records in an electronic environment.

Electronic Records Archives **FY 2016 Budget Request**

The FY 2016 budget request provides $25,296 thousand for the ERA system, a net increase of $61 thousand from the FY 2015 enacted level, including:

- *+$61 thousand for the FY 2016 pay raise and annualization of the FY 2015 pay raise.*

Funds requested for ERA in FY 2016 will be used to provide for maintenance of hardware and software, and provide for a small staff and contractor support for networking, maintenance, IT security, backup and recovery, and help desk functions for ERA.

Federal Register Strategic Direction

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

Management challenges and opportunities for FY 2016 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 Strategies and Actions

In FY 2016, the Office of the Federal Register will work collaboratively with Information Services and Business Support Services to: provide a modern search engine and interface for all Federal Register electronic products; establish the electronic Code of Federal Regulations (CFR) as an official legal version of the CFR; design customized information products and services that meet customer needs and expectations; systematically improve production processes and workflows by developing a web-based production system to publish all statutory publications and provide easy access to critical government information for the public.

Federal Register FY 2016 Budget Request

The FY 2016 budget request provides $11,631 thousand for the Office of the Federal Register, a net decrease of $76 thousand from the FY 2015 enacted level, including:

- *+$82 thousand for the FY 2016 pay raise and annualization of the FY 2015 pay raise; and*
- *-$158 thousand from decreases in allocated costs of management and administration, including information technology.*

Facility Operations
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Facility Operations	$ 84,796	$ 78,177	$ 78,387

NARA's FY 2016 request for *Facility Operations* includes:

- $49,416 thousand for rent, utilities, and other costs of operations and maintenance at three NARA-owned Federal buildings and 44 leases; and

- $28,971 thousand for interest payments and repayments of principal on debt held by the public that was issued to finance the construction of the Archives II building in College Park, MD. $7,764 thousand is provided for interest payments and $21,208 thousand is provided for repayments of principal (numbers don't add due to rounding).

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

Business Support Services Strategic Direction

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

The *Business Support Services* organization supports the NARA mission by providing efficient and effective centralized administrative services, including project management, acquisitions, financial management, physical security, and facility and property management. Business Support Services works in collaboration with an Internal Customer Service Council to ensure that all NARA programs receive the assistance they need, regardless of geographic location.

Management challenges and opportunities for FY 2016 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 nearly 700,000 cubic feet of newly-accessioned archival records since FY 2010, an increase of 15 percent, but has not seen an equivalent increase in space available for the storage of these records. NARA expects to receive at least 3 million cubic feet of new archival records by the end of FY 2030, and lacks appropriate space in which to store these records.

- Recent high-profile records thefts highlight the importance of a robust holdings protection program. NARA has improved employee training in holdings protection, instituted exit screenings to mitigate the risk of loss from internal sources, and is collaborating with partner institutions to share best practices in holdings protection. NARA is developing a nationwide facility assessment program to refine holdings protection procedures and identify and mitigate the areas of highest risk.

Business Support Services Strategies and Actions

Business Support Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2016:

1. By FY 2020, Business Support Services will provide secure, resilient, and appropriate space for 100 percent of NARA's archival holdings.

2. By FY 2020, Business Support Services will lead NARA in reducing agency greenhouse gas emissions by 10 percent from FY 2008 levels and will reduce facility energy intensity by 35 percent against the FY 2003 baseline.

Facility Operations **FY 2016 Budget Request**

The FY 2016 budget request provides $78,387 thousand for Facility Operations, a net increase of $210 thousand from the FY 2015 enacted level, including:

- *-$274 thousand in savings from moving the Office of the Federal Register out of leased space and into the Government Printing Office headquarters building in Washington, DC;*
- *+$125 thousand to support requested new hires to enhance oversight of electronic records management; and*
- *+$359 thousand from increases in rental payments for leased facilities and in contracts for the operations and maintenance of NARA-owned facilities.*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
11.1	Full-time, permanent...	$ 124,372	$ 129,046	$ 133,245
11.3	Other than full-time permanent...........................	449	1,006	1,018
11.5	Other personnel compensation...........................	1,613	1,486	1,505
11.8	Special personal services payments..................	58	59	59
12.1	Civilian personnel benefits.................................	36,774	38,596	40,574
13.0	Benefits for former personnel............................	100	160	160
21.0	Travel and transportation of persons..................	813	960	1,111
22.0	Transportation of things.....................................	461	236	436
23.1	Rental payments to GSA.....................................	6,481	6,957	7,851
23.2	Rental payments to others..................................	1,062	1,027	1,033
23.3	Communications, utilities, and misc. charges....	14,360	13,474	13,374
24.0	Printing and reproduction...................................	872	754	754
25.1	Advisory and assistance services......................	23,117	21,295	18,795
25.2	Other services from non-Federal sources.........	27,369	21,898	22,111
25.3	Other goods & services from Federal sources..	17,119	16,647	16,712
25.4	Operation and maintenance of facilities..............	33,860	32,324	32,513
25.5	Research and development contracts................	169	185	185
25.7	Operation and maintenance of equipment..........	33,335	34,534	36,394
26.0	Supplies and materials.......................................	2,858	2,932	3,138
31.0	Equipment..	12,526	13,053	13,053
32.0	Land and structures...	3,207	0	0
42.0	Insurance claims and indemnities......................	7	0	0
43.0	Interest and dividends..	11,016	9,457	7,764
94.0	Financial transfers...	17,955	19,514	21,208
99.0	**Obligations, appropriated...............................**	**$ 369,953**	**$ 365,600**	**$ 372,993**
	Subtotal, PC&B.......................................	*163,366*	*170,353*	*176,561*
	Subtotal, non-labor...................................	*206,587*	*195,247*	*196,432*
99.0	Obligations, reimbursable..................................	1,496	1,259	1,268
99.0	Total obligations..	$ 371,449	$ 366,859	$ 374,261
	Full-Time Equivalents (FTE) Direct....................	1,537.0	1,600.0	1,632.0
	Full-Time Equivalents (FTE) Reimbursable.......	23.0	28.0	28.0

National Archives and Records Administration

OFFICE OF INSPECTOR GENERAL

Fiscal Year 2016 Budget Request

CONTENTS

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.), **<u>as amended,</u>** and for the hire of passenger

motor vehicles, **$4,180,000.**

Program Description

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

Explanation of Changes
(Dollars in Thousands)

	FTE	Budget Authority
FY 2015 Enacted level..	24.0	$ 4,130
FY 2016 Appropriation request......................................	24.0	4,180
Net Change...	0.0	$ 50

Summary of the Request

The FY 2016 budget requests $4,180 thousand and 24 FTE for the Office of Inspector General (OIG), an increase of $50 thousand from the FY 2015 enacted level. NARA requests an increase of $50 thousand to provide for the FY 2016 pay raise (1.3 percent) and the annualization of the FY 2015 pay raise (1.0 percent).

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

- The OIG request includes $45 thousand for training in FY 2016, to support the continuing professional development of OIG staff. The Government Accountability Office (GAO) states that all auditors should receive at least 80 hours of training every two years. Auditors require training in areas such as: contract and grant auditing; performance management; fraud auditing; and information technology (IT) security, project management, and network and applications management. Special agents are required to receive periodic refresher training in: trial process; Federal criminal and civil legal updates; interviewing techniques and policy; law of arrest, search, and seizure; firearms use; and physical conditioning and defensive tactics. Management, legal, and administrative staff also require periodic training to remain proficient and effective at their jobs.

- NARA's OIG supports the interagency Council of Inspectors General on Integrity and Efficiency (CIGIE). In FY 2014, CIGIE was able to cover their expenses without collecting contributions from member agencies, including NARA. However, NARA expects to contribute approximately $11,259 to CIGIE in FY 2016.

Strategic Direction

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

OIG audits and investigations cover all aspects of NARA operations at 44 facilities nationwide. NARA holds millions of cubic feet of historic records, and an ever growing electronic repository of classified and highly sensitive records, including those of the 9/11 and Warren Commissions, military and civilian personnel records, and Presidential records. NARA also holds hundreds of thousands of artifacts, including high-value Presidential gifts.

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

OIG auditors must review and evaluate multi-million dollar programs which NARA executes with a staff of approximately 3,000 FTE. Currently, the OIG's capacity to provide the necessary coverage is limited by staffing constraints. Because of this, programs which would demand an entire team of auditors in other Federal agencies are routinely left in the hands of a single auditor at NARA.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Discretionary authority:			
Annual appropriation..	$ 4,130	$ 4,130	$ 4,180
Net Discretionary authority.................................	**$ 4,130**	**$ 4,130**	**$ 4,180**
Unobligated balance, expiring……………………….	-$ 353	$ 0	$ 0
Total obligations…………………………………..	**$ 3,777**	**$ 4,130**	**$ 4,180**
Net outlays	*$ 3,575*	*$ 4,148*	*$ 4,180*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
11.1	Full-time, permanent..	$ 2,196	$ 2,748	$ 2,783
11.5	Other personnel compensation........................	187	152	154
12.1	Civilian personnel benefits..............................	778	975	988
21.0	Travel and transportation of persons...............	19	27	27
22.0	Transportation of things...................................	0	0	0
23.3	Communications, utilities, and misc. charges.	0	0	0
24.0	Printing and reproduction................................	0	0	0
25.1	Advisory and assistance services...................	495	179	179
25.2	Other services from non-Federal sources.......	25	14	14
25.3	Other goods & services from Fed. sources.....	21	15	15
25.7	Operation and maintenance of equipment.......	14	10	10
26.0	Supplies and materials.....................................	29	5	5
31.0	Equipment..	13	5	5
99.0	**Total obligations...**	**$ 3,777**	**$ 4,130**	**$ 4,180**
	Subtotal, PC&B....................................	*3,161*	*3,875*	*3,925*
	Subtotal, non-labor................................	*616*	*255*	*255*
	Full-Time Equivalents (FTE)............................	18.0	24.0	24.0

National Archives and Records Administration

REPAIRS AND RESTORATION

Fiscal Year 2016 Budget Request and

Capital Improvements Plan

CONTENTS

Appropriation Language

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

Analysis of Language Provisions and Changes

NARA proposes new language to remove the restrictions on funds provided under the FY 2009 Omnibus Appropriation (P.L. 111-8) and FY 2010 Consolidated Appropriation (P.L. 111-117) to renovate the Franklin D. Roosevelt Presidential Library. This will allow NARA to devote approximately $6,750 thousand in unobligated balances remaining from the now-completed renovation to other capital projects identified in NARA's annual Capital Improvement Plan, including on-site renewable energy projects.

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)

	Budget Authority
FY 2015 Enacted level...	$ 7,600
FY 2016 Appropriation request..	7,500
Net Change...	-$ 100

Summary of the Request

The FY 2016 budget requests $7,500 thousand for Repairs and Restoration of NARA-owned Federal buildings in FY 2016, a decrease of -$100 thousand from the FY 2015 enacted level. This appropriation provides for major repairs and renovations to NARA buildings necessary to maintain health and safety standards for the occupants, preserve archival documents stored in NARA facilities, and protect the value of government real property assets.

The FY 2016 budget request provides for repairs and alterations to the 17 Federal buildings that NARA owns, operates, and maintains: the National Archives buildings in Washington, DC, College Park, MD, and Atlanta, GA, and fourteen Presidential Libraries and Museums across the United States.

NARA has two buildings listed on the National Register of Historic Places: the National Archives in Washington, DC, first occupied in 1935, and the Franklin D. Roosevelt Library in Hyde Park, NY, which was dedicated in 1941. All NARA buildings store and protect historically valuable and irreplaceable documents. Each year, approximately 3 million Americans visit NARA facilities to conduct research, attend conferences, view exhibits, and participate in educational programs.

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

Legislative Proposal

The FY 2016 budget request proposes new Appropriations language that would allow NARA to re-purpose approximately $6,750 thousand in unobligated balances that are currently restricted to the Franklin D. Roosevelt Presidential Library renovation project. Removing this restriction will allow NARA to allocate previously-appropriated and otherwise available balances to other critical capital projects, particularly the installation of new, on-site renewable energy projects at NARA-owned facilities.

NARA would use $2,500 thousand to provide for two renewable energy projects, which are expected to produce over 1.1 million kilowatt hours (kWh) of renewable energy each year. NARA's proposal would provide:

- $2,175 thousand to install photovoltaic arrays at the National Archives facility in Atlanta, GA, which is expected to generate approximately 734,000 kWh of renewable energy annually; and

- $325 thousand to install a smaller solar roof at the Jimmy Carter Presidential Library and Museum in Atlanta, GA, which is expected to generate approximately 400,000 kWh of renewable energy annually.

Together, these projects would allow NARA to demonstrate meaningful progress towards meeting the energy efficiency goals of the Presidential Memorandum of December 5, 2013, "Federal Leadership on Energy Management". This Memorandum establishes new goals for Federal agencies, including the requirement that – by FY 2020 – 20 percent of the total amount of electric energy consumed by each agency during any fiscal year shall be renewable energy.

NARA would use the remaining $4,250 thousand to provide for other capital improvement projects, particularly the continuing renovation of the Dwight D. Eisenhower Presidential Library and Museum. The Eisenhower Library needs a major renovation to bring its buildings up to the current Architectural Design Standards and the requirements of the Americans with Disabilities Act, as well as to correct noted fire safety deficiencies. The Eisenhower Library has never had a major renovation (only partial renovations) since the Library opened in the mid-1960s, and most major building systems have reached the end of their service life.

NARA has used Repairs and Restorations appropriations as well as Energy-Saving Performance Contracts (ESPC) to incrementally replace those building systems that were in the most urgent need of replacement and could not wait for a larger renovation. Despite these incremental investments, NARA estimates that the Eisenhower Library complex requires an additional $18,000 thousand in investments to address all building needs. The additional funds provided by the proposed change would allow NARA to address the most significant repairs and restoration needs at the Eisenhower Library in FY 2016.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Unobligated balance carried forward.......................	$ 11,866	$ 9,060	$ 8,000
Recoveries of prior-year obligations........................	$ 25	$ 320	$ 0
New discretionary authority:			
No-year appropriation..	$ 8,000	$ 7,600	$ 7,500
New Discretionary authority................................	**$ 8,000**	**$ 7,600**	**$ 7,500**
Unobligated balance, available in future years.........	-$ 9,060	-$ 8,000	-$ 1,000
Total obligations...	**$ 10,831**	**$ 8,980**	**$ 14,500**
Net outlays	*$ 14,597*	*$ 12,575*	*$ 9,231*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
25.1 Advisory and assistance services………………	$ 1,264	$ 0	$ 0
25.2 Other services……………………………………	58	0	0
25.3 Goods and services from Gov't accounts……..	2	0	0
25.4 Operation and maintenance of facilities………..	296	0	0
26.0 Supplies and materials………………………….	1	0	0
31.0 Equipment………………………………………..	8	0	0
32.0 Land and structures...	9,202	8,980	14,500
99.0 Total obligations...	**$ 10,831**	**$ 8,980**	**$ 14,500**

FY 2016 Capital Improvements Plan

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

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

Building Renovation Projects

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

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

Most of the major building systems have reached the end of their service life. NARA has incrementally replaced those systems that were in the most urgent need of replacement and could not wait for the larger renovation. These projects have allowed NARA to reduce the costs of a larger renovation project but only to a limited degree, since the incremental projects are not as efficient, leave portions of each facility without renovations, and don't attract the number of potential bidders that a larger project would.

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

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

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

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

Harry S. Truman Library, Independence, MO, Building Renovation (Design & Construction).– The Truman Library requires a complete renovation in order to bring the entire building into compliance with the current Architectural Design Standards for Presidential Libraries. In the late 1990s, NARA renovated a portion of the Truman Library. At that time, there were areas that were not included in the renovations and the current archival storage standards had not been developed. Since then, many small repairs have been made, based on BCR recommendations (mostly related to the fire protection and fire alarm systems and an elevator replacement project). NARA recently replaced a portion of the building security system. In FY 2014, NARA started to replace air handling units, but the costs exceed $2,000 thousand, and we will have to spread the work over two fiscal years in order to perform that critical work out of the base R&R appropriation. The areas that have not been renovated still need a renovation, and the previously renovated area needs to be revisited to bring it into compliance with current archival storage standards.

National Archives at College Park, MD, HVAC Renovations (Design & Construction).– NARA has begun replacing some of the HVAC systems components using base R&R funds, but there are many systems reaching the end of their anticipated service life especially since these systems have been required to operate 24 x 7, 365 days per year for more than 20 years. Most major mechanical equipment has an anticipated service life of between 20 to 30 years; the HVAC system was installed in 1991 during the construction of the building.

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

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

Jimmy Carter Library, Atlanta, GA, Building Renovation (Design & Construction).–The Carter Library requires a complete replacement of building mechanical and electrical systems, and the BCR has identified several other repairs that require attention within the next five years. NARA recently replaced some building mechanical systems in connection with the Foundation-funded renovation of the museum exhibit (to take advantage of the fact that the museum space was temporarily closed). This project helped to bring some areas of the facility into compliance with current archival standards and improve energy efficiency. NARA must replace additional mechanical and electrical equipment, and perform additional BCR repairs throughout the facility.

Ford Library, Ann Arbor, MI, Parking Lot Expansion (Construction).–This project would increase the available parking for the Ford Library. Currently, the parking lot is very small and, when there are large events, parking capacity is exceeded. This effort could be combined with a larger building renovation, if funding was available, and it would allow NARA to use the parking lot as a staging area for the renovations and repair the lot at the conclusion of the renovations.

National Archives at College Park, MD, Interior Public Address System Replacement (Construction).–The interior P/A system is the means by which NARA can immediately contact all employees in case of an emergency. The system was installed in the early 1990s and was repaired in the early 2000s. The anticipated service life of the system is 20 years and through routine testing it is apparent that the system will need to be replaced in the near future.

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

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

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

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

Energy and Sustainability Projects

National Archives at Atlanta, Atlanta GA, Solar Photovoltaic Installation (Design & Construction).– The National Archives facility at Atlanta is NARA's most viable opportunity for solar photovoltaic installation due to the geographic location, roof size, and number of high solar radiation days each year. NARA anticipates installing 575 kW of solar PV panels which would return approximately 734,000 kWh of power annually.

Jimmy Carter Library, Atlanta, GA, Solar Photovoltaic Installation (Design and Construction) – The Carter Library offers the second best opportunity for NARA to install a solar PV system. NARA anticipates installing 315 kW of solar PV panels which would return approximately 400,000 kWh of power annually.

John F. Kennedy Library, Boston, MA, Seawall Repairs (Design & Construction).–The seawall requires continual maintenance and NARA estimates renovation on the seawall will be required approximately every fifteen years. Repairs were last made to the seawall in 2002.   Additionally, based on NARA's Climate Change Adaptation Strategies, initial risk assessments of the site and seawall reveal that the wall will need to be raised in the next five years to maintain pace with anticipated sea level rise.

National Archives at Washington, DC, Exterior Window and Door Replacement (Construction).–Replacing the windows and doors at the National Archives at Washington, DC would significantly increase energy efficiency in the building. However, this facility is a historic building and replacing all of the windows and doors would be an expensive project.

National Archives and Records Administration

**NATIONAL HISTORICAL PUBLICATIONS
AND RECORDS COMMISSION GRANTS PROGRAM**

Fiscal Year 2016 Budget Request

CONTENTS

Appropriation Language

For necessary expenses for allocations and grants for historical publications and records as

authorized by 44 U.S.C. 2504, **$5,000,000**, 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. This appropriation supports core programs and initiatives in the form of grants that publish, preserve, and make accessible important historical documents.

Explanation of Changes
(Dollars in Thousands)

	Budget Authority
FY 2015 Enacted level..	$ 5,000
FY 2016 Appropriation request..	5,000
Net Change..	$ 0

Summary of the Request

The FY 2016 budget requests $5,000 thousand to support the mission and projects of the National Historical Publications and Records Commission (NHPRC), the same as the FY 2015 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 $1,414 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 the papers of historically important citizens, documents that record and explain the history of the United States, and records of the actions and decisions of American government. 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 communities, expanding the impact of each project outcome.

Strategic Direction

The NHPRC grants program is a nation-wide platform for advancing the President's Open Government National Action Plan and the Digital Government Strategy at State, local, and tribal government archives and other records repositories. 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.

Funds requested in the FY 2016 budget would be used to build on current initiatives that combine the statutory role of the NHPRC with the Administration's objectives to create an informed and engaged citizenry and a modern, twenty-first century government:

1. *Accelerate digital literacy and citizen engagement.*—Funds requested in FY 2016 would be used to: expand the use of digital technologies to access and analyze primary sources in classrooms; provide for the professional development of archivists and records managers to develop the skills necessary to promote and innovate digital literacy and citizen engagement programs and activities; and enlist "citizen archivists" in archival processes to accelerate digitization and online public access to historically valuable records and data. Citizen archivist activities will represent a key component of most grant projects.

2. *Create a national partnership for Digital Government with State and local government archives.*—Funds requested in FY 2016 would be used to: develop performance targets to assist State and local government archives in managing the preservation and access of non-Federal government electronic records; develop and expand common methodologies for managing State and local government data sets; and strengthen the national partnership infrastructure for sharing research and best practices in digital government and open data strategies.

3. *Expand public access to digital historical records on-line.*—Funds requested in FY 2016 would be used to: support innovative new approaches to providing public access to historical records, including through open-source models and mobile applications; digitize permanently valuable historical records currently only available in print or microfilm; and support the further development of national repositories for digital content that could serve as "shared services" IT platforms for non-Federal archives.

Founding Fathers Project

The NHPRC will continue to oversee the long-term *Founding Fathers* editorial projects, which are making the papers of the Founding Fathers freely available online in a modern (transcribed) format with fully scholarly annotation. The *Founders Online,* a free web resource launched in June 2013, includes hundreds of volumes of the personal papers of six of the political leaders and statesmen who formed American Democracy by signing the Declaration of Independence, taking part in the American Revolutionary War, and establishing the United States Constitution: George Washington, John Adams, Thomas Jefferson, James Madison, John Hamilton, and Benjamin Franklin.

Founders Online realized 450,000 unique visitors during its first year (June 2013-May 2014), and NARA expects that usage will increase as more high school educators and college faculty incorporate it into their classrooms. NARA anticipates that the web site will be complete and all content will be available online in FY 2015; in FY 2016, the NHPRC will maintain its oversight of the web portal as editorial teams continue to transcribe and annotate additional historical documents.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Unobligated balances carried forward.....................	$ 524	$ 182	$ 182
Recoveries of prior-year obligations........................	$ 205	$ 60	$ 0
New discretionary authority:			
No-year appropriation...	$ 4,500	$ 5,000	$ 5,000
Spending authority collected……………………….	$ 5	$ 0	$ 0
New Discretionary authority................................	**$ 4,505**	**$ 5,000**	**$ 5,000**
Unobligated balance, available in future years.........	-$ 182	-$ 182	-$ 182
Total obligations...	**$ 5,052**	**$ 5,060**	**$ 5,000**
Net outlays	*$ 6,378*	*$ 5,494*	*$ 5,934*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
41.0 Grants, subsidies, and contributions............	$ 5,052	$ 5,060	$ 5,000
99.0 Total obligations...	**$ 5,052**	**$ 5,060**	**$ 5,000**

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National Archives and Records Administration

SPECIAL FUNDS

Fiscal Year 2016 Budget Request

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Records Center Revolving Fund

Authorizing Language

Authorization of the Records Center Revolving Fund is codified as 44 U.S.C. § 2901 *note*. This provision authorizes 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 Record 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)

	FTE	Obligations
FY 2015 Current..	1,237.0	$ 178,395
FY 2016 Budget...	1,237.0	179,899
Net Change...	0.0	$ 1,504

The FY 2016 budget includes an estimated $179,899 thousand in obligations for the Records Center Revolving Fund. This represents a net increase of $1,504 thousand from FY 2015 estimated obligations. This full cost-recovery revolving fund provides for the operations of the NARA Federal Records Centers Program (FRCP). The FRCP stores over 29 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.

Income/Cost Comparison
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Current	FY 2016 Budget
Revenue..	$ 177,645	$ 182,288	$ 184,111
Expenses...	174,362	180,928	182,737
Net Operating Result....................................	**$ 3,283**	**$ 1,360**	**$ 1,374**
Net outlays	*-$ 8,821*	*$ 0*	*$ 0*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2014 Actual	FY 2015 Current	FY 2016 Budget
11.1	Full-time, permanent...	$ 57,049	$ 58,725	$ 59,312
11.3	Other than full-time permanent............................	1,074	1,119	1,130
11.5	Other personnel compensation............................	2,980	2,923	2,923
11.8	Special personal services payments...................	62	62	62
12.1	Civilian personnel benefits..................................	18,892	19,081	19,272
13.0	Benefits for former personnel..............................	300	300	300
21.0	Travel and transportation of persons..................	352	353	353
22.0	Transportation of things......................................	1,440	1,260	1,285
23.1	Rental payments to GSA......................................	42,470	41,921	41,864
23.2	Rental payments to others...................................	11,572	11,782	12,018
23.3	Communications, utilities, and misc. charges....	4,954	5,012	5,112
24.0	Printing and reproduction....................................	11	11	11
25.1	Advisory and assistance services.......................	4,269	4,465	4,555
25.2	Other services from non-Federal sources..........	2,089	2,138	2,180
25.3	Other goods & services from Federal sources...	10,553	10,249	10,271
25.4	Operation and maintenance of facilities..............	322	313	319
25.7	Operation and maintenance of equipment..........	12,180	11,350	11,577
26.0	Supplies and materials..	1,344	1,186	1,210
31.0	Equipment..	4,966	6,145	6,145
32.0	Land and structures..	764	0	0
99.0	**Total obligations..**	**$ 177,643**	**$ 178,395**	**$ 179,899**
	Subtotal, PC&B.......................................	*79,995*	*82,210*	*82,999*
	Subtotal, non-labor...................................	*96,348*	*96,185*	*96,900*
	Full-Time Equivalents (FTE)...............................	1,211.0	1,237.0	1,237.0

National Archives Gift Fund

Authorizing Language

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

Program Description

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

Explanation of Changes
(Dollars in Thousands)

	<u>Obligations</u>
FY 2015 Current...	$ 4,229
FY 2016 Budget..	<u>2,670</u>
Net Change..	-$ 1,559

The FY 2016 budget includes an estimated $2,670 thousand in obligations for the National Archives Gift Fund, a net decrease of -$1,559 thousand compared to FY 2015 estimated obligations of $4,229 thousand. FY 2015 obligations include $1,000 thousand in one-time costs for building improvements at the John F. Kennedy Presidential Library and Museum, as well as smaller, one-time costs for digitization projects and to underwrite a traveling exhibition of the popular "Spirited Republic" exhibit (previously on display at the National Archives Museum in Washington, DC).

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Current	FY 2016 Budget
Unobligated balance, start of year	$ 2,136	$ 2,418	$ 2,425
Recoveries of prior year unpaid obligations	8	10	10
Budget authority:			
Mandatory appropriation.....................................	**$ 2,642**	**$ 4,226**	**$ 2,615**
Unexpired unobligated balance, end of year	-2,418	-2,425	-2,380
Total obligations...	**$ 2,368**	**$ 4,229**	**$ 2,670**
Net outlays	*$ 2,865*	*$ 4,253*	*$ 2,636*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2014 Actual	FY 2015 Current	FY 2016 Budget
21.0	Travel and transportation of persons...................	42	71	72
22.0	Transportation of things.......................................	18	7	7
24.0	Printing and reproduction.....................................	20	8	20
25.2	Other services from non-Federal sources..........	357	2,469	907
25.3	Other goods & services from Federal sources...	116	110	111
26.0	Supplies and materials..	46	44	45
31.0	Equipment..	206	85	76
32.0	Land and structures..	87	3	0
33.0	Investments..	843	799	799
94.0	Financial Transfers..	633	633	633
99.0	**Total obligations..**	**$ 2,368**	**$ 4,229**	**$ 2,670**

National Archives Trust Fund

Authorizing Language

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

Program Description

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

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 ADP tapes.

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

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

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

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

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

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

Explanation of Changes
(Dollars in Thousands)

	FTE	Obligations
FY 2015 Current...	106.0	$ 19,098
FY 2016 Budget...	108.0	16,694
Net Change...	2.0	-$ 2,404

The FY 2016 budget includes an estimated $16,694 thousand in obligations for the National Archives Trust Fund, a net decrease of -$2,404 thousand from FY 2015 estimated obligations of $19,098 thousand. FY 2015 obligations include $2,100 thousand in one-time costs for a re-design of the museum exhibit and for related building improvements at the John F. Kennedy Presidential Library and Museum.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2014 Actual	FY 2015 Current	FY 2016 Budget
Unobligated balance, start of year	$ 10,416	$ 11,187	$ 11,105
Unobligated balance, precluded from obligation	51	123	196
Recoveries of prior year unpaid obligations	535	0	0
Budget authority:			
Mandatory appropriation..	$ 18,651	$ 19,089	$ 16,694
Change in uncollected payments...........................	-578	0	0
Joint Committee Sequestration[1]	-72	-73	-75
New Budget Authority..	**$ 18,001**	**$ 19,016**	**$ 16,619**
Unexpired unobligated balance, end of year	-$ 11,310	-$ 11,301	-$ 11,301
Unobligated balance, precluded from obligation	[123]	[196]	[271]
Total obligations...	**$ 17,765**	**$ 19,098**	**$ 16,694**
Net outlays	*-$ 757*	*$ 0*	*$ 0*

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 are reduced by 7.2 percent in FY 2014, 7.3 percent in FY 2015, and an estimated 7.5 percent in FY 2016.

Obligations by Object Classification
(Dollars in Thousands)

		FY 2014 Actual	FY 2015 Current	FY 2016 Budget
11.1	Full-time, permanent..	$ 4,833	$ 5,139	$ 5,204
11.3	Other than full-time permanent...........................	136	145	146
11.5	Other personnel compensation...........................	167	178	180
12.1	Civilian personnel benefits..................................	1,585	1,587	1,613
13.0	Benefits for former personnel.............................	0	0	0
21.0	Travel and transportation of persons...................	188	283	282
22.0	Transportation of things......................................	171	144	148
23.2	Rental payments to others..................................	5	15	15
23.3	Communications, utilities, and misc. charges....	94	282	287
24.0	Printing and reproduction...................................	492	348	361
25.1	Advisory and assistance services.......................	29	85	43
25.2	Other services from non-Federal sources..........	1,327	3,879	1,916
25.3	Other goods & services from Federal sources...	1,887	2,252	2,337
25.4	Operation and maintenance of facilities..............	50	146	73
25.7	Operation and maintenance of equipment..........	256	749	370
26.0	Supplies and materials..	1,650	2,114	1,977
31.0	Equipment..	128	164	153
32.0	Land and structures..	53	0	0
33.0	Investments..	4,714	1,588	1,589
99.0	**Total obligations..**	**$ 17,765**	**$ 19,098**	**$ 16,694**
	Subtotal, PC&B.......................................	*6,721*	*7,049*	*7,143*
	Subtotal, non-labor....................................	*11,044*	*12,049*	*9,551*
	Full-Time Equivalents (FTE)……………………	103.0	106.0	108.0

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. Service fees represent fees collected 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 2015	FY 2016
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.	$ 14,768 service fee	$ 13,991 service fee
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.	$ 7,780 service fee	$ 7,798 service fee
		$ 9,139 service fee Revolving Fund	$ 9,155 service fee Revolving Fund

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 2015	FY 2016
Enterprise Human Resources Integration	EHRI allows NARA to capture and store images from paper personnel records and provides NARA employees with immediate online access to their Official Personnel Files. EHRI reduces the time spent copying, faxing, storing, scanning, retrieving, and mailing paper folders.	$ 36,648 service fee	$ 35,101 service fee
		$ 20,615 service fee Revolving Fund	$ 19,744 service fee Revolving Fund
E-Travel	E-Travel provides NARA with efficient and effective travel management services. Benefits include cost savings from cross-government purchasing agreements, streamlined travel policies and processes, strict security and privacy controls, and enhanced agency oversight and audit capabilities. NARA employees benefit through more efficient travel planning, authorization, and reimbursement processes.	$ 46,305 service fee	$ 56,702 service fee
		$ 24,933 service fee Revolving Fund	$ 30,532 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.	$ 36,160 agency contribution	$ 38,622 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, 2014). This section is provided to comply with the reporting requirements provided in the introductory language of Division E of the Explanatory Statement accompanying H.R. 83, providing Consolidated and Further Continuing Appropriations for FY 2015 (enacted as P.L. 113-235).

The NARA OIG conducts independent audits, investigations, and other reviews that result in findings of significant issues 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 2016 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 OIG's most recent Semiannual Report to Congress, located at link: http://www.archives.gov/oig/pdf/2014/semiannual-congress-9-2014.pdf.

Management Challenge	NARA Actions
1. Electronic Records Archives (ERA). NARA initiated the ERA program in order to address the challenge of ingesting, preserving, and providing access to our nation's electronic records for as long as needed. However, the program has been fraught with delays, cost overruns, and technical shortcomings and deficiencies. In 2011, NARA ended further system development work and transitioned the system to operations and maintenance. However, many core requirements were not fully addressed, and ERA lacks the originally envisioned functionality. Additionally, NARA needs to start planning for a significant number of electronic records from the Executive Office of the President, as there will be a change of administration after the 2016 election.	The FY 2016 budget for NARA Operating Expenses includes funding for ERA operations and maintenance, as well as funding for corrective and adaptive work necessary to improve core functionality and satisfy user requirements. The FY 2016 budget for Operating Expenses also includes funding to address functionality originally envisioned for ERA (but not included in the deployed system). NARA continues to dedicate funds requested in FY 2014 for the Digital Processing Environment (DPE) to optimize the process of moving permanent electronic records into NARA custody and control. NARA's FY 2016 budget for Operating Expenses requests additional funding to prepare for the FY 2017 Presidential Transition, including necessary investments in ERA – mostly hardware – necessary to accept the electronic Presidential records of the Obama Administration.

Management Challenge	NARA Actions
2. Improving Records Management. Part of NARA's mission is safeguarding and preserving the records of our government, including records that are still in the custody of the originating agencies. NARA must work with Federal agencies to ensure the effective and efficient appraisal, scheduling, and transfer of permanent records, in both traditional and electronic formats. NARA is challenged to ensure appropriate retention and preservation of records – especially electronic records – at other Federal agencies while adapting to a rapidly changing technological environment and the exponential growth of electronic records. The Presidential Memorandum *Managing Government Records* and OMB Memorandum M-12-18, *Managing Government Records Directive*, established aggressive goals for Federal Executive agencies to transition to fully-electronic recordkeeping. NARA lacks sufficient controls to protect permanent electronic records from loss, and Federal agencies are challenged with meeting these deadlines, determining how best to manage electronic records in accordance with this guidance, and how to make electronic records management work more effectively.	The FY 2016 budget for NARA <u>Operating Expenses</u> includes sufficient funding to address NARA's explicit commitments in the *Managing Government Records Directive* (M-12-18) and provide agencies with guidance necessary to fulfill their requirements. OMB issued M-12-18 specifically to address many of the concerns raised by NARA's OIG and the milestones in M-12-18 will create a government-wide framework to ensure that permanently-valuable electronic records are appropriately identified, retained, and eventually transferred to the National Archives for preservation and public access. Since M-12-18 was issued, NARA has reorganized the Office of the Chief Records Officer and developed new internal processes to ensure objectives and milestones in M-12-18 are met. Congress has also demonstrated its support for improving records management through the newly-enacted Presidential and Federal Records Act Amendments of 2014 (P.L. 113-187), requiring 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." The FY 2016 budget for <u>Operating Expenses</u> requests additional funding to establish a dedicated team within NARA to conduct inspections of other Federal agencies record-keeping practices, and to conduct system audits of agency electronic recordkeeping systems, including email. These resources would enhance NARA oversight over Federal records in the custody of other Federal agencies, assure the appropriate retention of those records, and provide additional resources to mitigate risks and share best practices identified during inspections and audits.

Management Challenge	NARA Actions
3. Information Technology Security. Annual assessments of NARA's compliance with the Federal Information Security Management Act have consistently identified program areas in need of significant improvement. The OIG and GAO have identified information security areas where policies or procedures are needed, or where management needs to implement existing policies and procedures. Once both policies and procedures are in place, NARA can begin to implement them and ensure they are being followed by testing. Until this happens, and the IT security program has defined roles and responsibilities, continuous monitoring of internal controls, and repeatable processes, it will continue to be a material weakness.	The FY 2016 budget for Operating Expenses includes funding to address control deficiencies in IT security. NARA Management acknowledged IT security as an internal controls material weakness for FY 2015 reporting and has developed an aggressive plan to address five control deficiencies that pose a potential risk to IT Security, in the following areas: (1) Authority to Operate (ATO); (2) Desktop Baseline Configuration; (3) Server Baseline Configuration; (4) Patch Management, and; (5) Information Security Continuous Monitoring (ISCM). Management selected these vulnerabilities – and identified the actions necessary to address them –based on the annual FISMA assessment and audit findings from the OIG and GAO. Over the past several years, NARA has focused on improving controls associated with managing IT related recommendations. NARA has instituted controls that adopt a risk-based approach to tracking and closing IT audit recommendations, allowing the agency to reduce the number of open IT audit recommendations by about 40% in FY 2014. These recent changes ensure that weaknesses and gaps in NARA's IT Security environment are addressed in a timely manner.

Management Challenge	NARA Actions
4. Expanding Public Access to Records. Approximately 32 percent of NARA's textual holdings have not been processed to allow efficient and effective public access to them. To meet its mission, NARA must work to ensure it has the processes and resources necessary to establish intellectual control over this backlog of unprocessed records. Another challenge for NARA, given society's growing expectation for easy and near-immediate access to information online, will be to provide such access to records created digitally ("born digital") and to identify those textual records most in demand so they can be digitized and made available electronically. NARA must ensure the appropriate management, strategy, and resources are in place to achieve its access and digitization goals.	When textual processing was first identified as a challenge in FY 2007, NARA had processed slightly less than 30% of its traditional holdings. At present, about 69% of NARA's traditional holdings are processed. This progress was made despite a 25% increase in holdings over the period. NARA has addressed OIG audit recommendations by: establishing a common definition of what necessary processing steps; developing performance measures; and establishing controls to reasonably ensure that NARA locations are uniformly applying the standards. NARA continues to dedicate funding in the <u>Operating Expenses</u> appropriation to ensure that existing records are processed to an appropriate level and that newly-accessioned records are processed in a timely manner.
5. Meeting Storage Needs of Growing Quantities of Records. NARA regulations require all facilities housing Federal records to meet defined physical and environmental requirements. NARA's challenge is to ensure its own facilities, as well as those used by other Federal agencies, are in compliance with these regulations; and to effectively mitigate risks to records which are stored in facilities not meeting these standards. NARA is also challenged in acquiring needed physical space for incoming textual records and an enterprise-wide data storage management solution to provide appropriate storage for electronic records.	The FY 2016 budget for <u>Operating Expenses</u> includes funding for the operations and maintenance of NARA storage facilities, and for repairs necessary to maintain storage requirements in leased facilities. The FY 2016 budget for <u>Repairs and Restoration</u> includes funding for necessary repairs to NARA-owned buildings. The FY 2016 budget for <u>Operating Expenses</u> requests additional funding to establish a dedicated team within NARA that would conduct inspections of other Federal agencies record-keeping practices, including their compliance with records storage requirements. The FY 2016 <u>Operating Expenses</u> budget includes funding to explore the use of cloud-based platforms to provide secure, cost-effective storage of electronic archival records.

Management Challenge	NARA Actions
6. Preservation Needs of Records Preservation resources have not been able to adequately address the growth in holdings needing preservation action. Previous OIG audits have focused on NARA's inability to measure preservation workload and a lack of controls around NARA's ability to demonstrate preservation decisions were being made based on systematic application of relevant criteria.	The FY 2016 budget for Operating Expenses includes funding for multiple activities and functions designed to ensure the preservation of NARA records in multiple traditional and electronic formats. In FY 2014, NARA implemented a modern, comprehensive preservation strategy and began communicating the strategy internally. This strategy will allow NARA to identify and focus limited resources on its highest priority preservation needs while ensuring that all records have reasonable safeguards to maintain their overall condition. In FY 2015, NARA will establish a preservation governance board and begin recurring preservation risk assessments to continuously assess the effectiveness of the strategy. Funds dedicated to preservation in the FY 2016 budget will be allocated based on the strategy and the results of the FY 2015 assessments.
7. Improving Project Management. NARA is challenged with planning projects, developing adequately defined requirements, analyzing and testing to support acquisition and deployment of the systems, and providing oversight to ensure effective or efficient results within costs. NARA IT projects must be better managed and tracked to ensure budget, scheduling, and performance goals are met. NARA has been inconsistent in its use of key project management disciplines, including earned value management (EVM), a project management approach providing objective reports of project status and early warning signs of cost and schedule overruns.	The FY 2016 budgets for Operating Expenses and the Records Centers Revolving Fund include funding for program and project management training. NARA recently developed a blanket purchase agreement (BPA) to provide Program and Project Managers with better access to more current training programs to enhance their skills. NARA's Chief Information Officer has substantially improved Management involvement in IT projects and has established Program Managers to provide greater oversight over individual IT projects.

Management Challenge	NARA Actions
8. Physical and Holdings Security NARA must maintain adequate levels of physical security to ensure the safety and integrity of persons and holdings within NARA facilities. NARA's implementation of the Holdings Protection Team and stricter access controls within the past five years has increased NARA's security posture. However, these functions require greater oversight and accountability.	The FY 2016 budget for Operating Expenses includes funding for NARA's dedicated Holdings Protection Team, as well as other functions and activities (such as exit screening at select facilities) necessary to ensure the security of NARA's holdings and facilities. Since first identified as a weakness, Management has implemented a large number of physical and internal controls to mitigate the risk of loss. The FY 2016 budget includes funding for testing and monitoring of those controls to deter theft, provide reasonable assurance that vulnerabilities are reduced, and allow for the quick identification of any future weakness.
9. Contract Management and Administration. GAO has identified Commercial Services Management (CSM) as a government-wide initiative. The CSM initiative includes enhancing the acquisition workforce, increasing competition, improving contract administration skills, improving the quality of acquisition management reviews, and strengthening contractor ethics requirements. NARA is challenged to continue strengthening the acquisition workforce and to improve the management and oversight of Federal contractors. NARA is also challenged with reviewing contract methods, to ensure that procurement techniques are properly used in accordance with laws, regulations, and best practices.	The FY 2016 budgets for Operating Expenses and the Records Centers Revolving Fund include funding for all NARA acquisition activities, including on-going efforts to improve contract management and oversight through improved policies, procedures, and training for the NARA acquisition workforce. The OIG will conduct an audit of the NARA acquisition program in FY 2015, and NARA will address the findings and recommendations of that audit in FY 2016.
10. Management of Internal Controls. The OIG has concluded that NARA has not established an effective internal controls program and lacks and established an enterprise risk management capability, thus reducing Management's ability to anticipate future challenges and avoid potential crises.	The FY 2016 budgets for Operating Expenses and the Records Centers Revolving Fund include funding NARA's centralized internal controls program, as well as the internal controls functions performed across the agency. NARA has incrementally developed its system of internal controls, resulting in the identification of several program risks that may not have been recognized. In FY 2016, NARA will continue to develop the internal controls program and Management's ability to self-identify, manage, and mitigate controls risks.

FISCAL YEAR 2016
ANNUAL PERFORMANCE PLAN
&
FISCAL YEAR 2014
ANNUAL PERFORMANCE REPORT

Submitted to Congress
February 2, 2015

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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The National Archives and Records Administration is a public trust on which our democracy depends. We enable people to inspect for themselves the record of what Government has done. We enable officials and agencies to review their actions and help citizens hold them accountable. We ensure continuing access to the records that document the rights of American citizens, the actions of Federal officials, and the national experience.

The National Archives and Records Administration (NARA) appraises, accessions, arranges, describes, preserves, and makes available to the public the historically valuable records of the three branches of Government. We establish policies and procedures for managing U.S. Government records. We assist and train Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring non-current records to regional records services facilities for cost-effective storage. We fund grants to increase access to the nation's historical documents. We manage a nationwide system of Presidential Libraries, records centers, and regional archives. We administer the Information Security Oversight Office, which oversees the Government's security classification program and controlled, unclassified information, the National Declassification Center, which provides for the appropriate declassification of classified national security information, and the Office of Government Information Services, responsible for the review of agencies' FOIA administration practices and compliance with FOIA. We publish the *Federal Register, Statutes at Large,* Government regulations, and Presidential and other public documents.

We serve a broad spectrum of American society. Genealogists and family historians; veterans and their families; academics, scholars, historians, and business and occupational researchers; publication and broadcast journalists; the Congress, the Judiciary, the White House, and other public officials; Federal Government agencies and the individuals they serve; state and local governments; professional organizations and their members; supporters' groups, foundations, and donors of historical materials; students and teachers; and the general public all seek answers from the records we preserve.

To be effective, we must determine what records are essential, ensure that Government retains such records, and make it easy for users to access those records regardless of where they are, or where the users are, for as long as needed. We also must find technologies, techniques, and partners worldwide that can help improve service and hold down costs. We must help staff members continuously expand their capability to make the changes necessary to realize our goals.

Mission:
WE DRIVE OPENNESS, CULTIVATE PUBLIC PARTICIPATION, AND STRENGTHEN OUR NATION'S DEMOCRACY THROUGH 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 AMERICAN EXPERIENCE.

Our Strategic Goals:

Make Access Happen

Connect With Customers

Maximize NARA's Value to the Nation

Build Our Future Through Our People

These goals and the objectives and initiatives to achieve them are detailed in *The Strategic Plan of the National Archives and Records Administration, 2014-2018*, issued in March 2014. . It details the actions and outcomes that must occur in FY 2016 for us to move forward on meeting the goals and objectives in our Strategic Plan. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, the human capital, and the informational resources needed to meet the year's performance goals. The *President's Budget* identifies the lower-priority program activities as required under the GPRA Modernization Act, 31 U.S.C. 1115(b) (10). The public can access last year's volume at http://www.whitehouse.gov/omb/budget. We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority; we are requesting to meet our FY 2016 objectives. Our budget is linked to the goals in this plan.

(Dollars in thousands)	
Operating Expenses	**$351,185**
Office of Inspector General	**$4,180**
Repairs/Restorations	**$7,500**
Grants	**$5,000**
Redemption of Debt	**$21,208**
Total Appropriation	**$389,073**
Total FTE	**3,029**

This is a high-level summary of our resource requirements. The numbers are linked to strategic goals in the pages that follow.
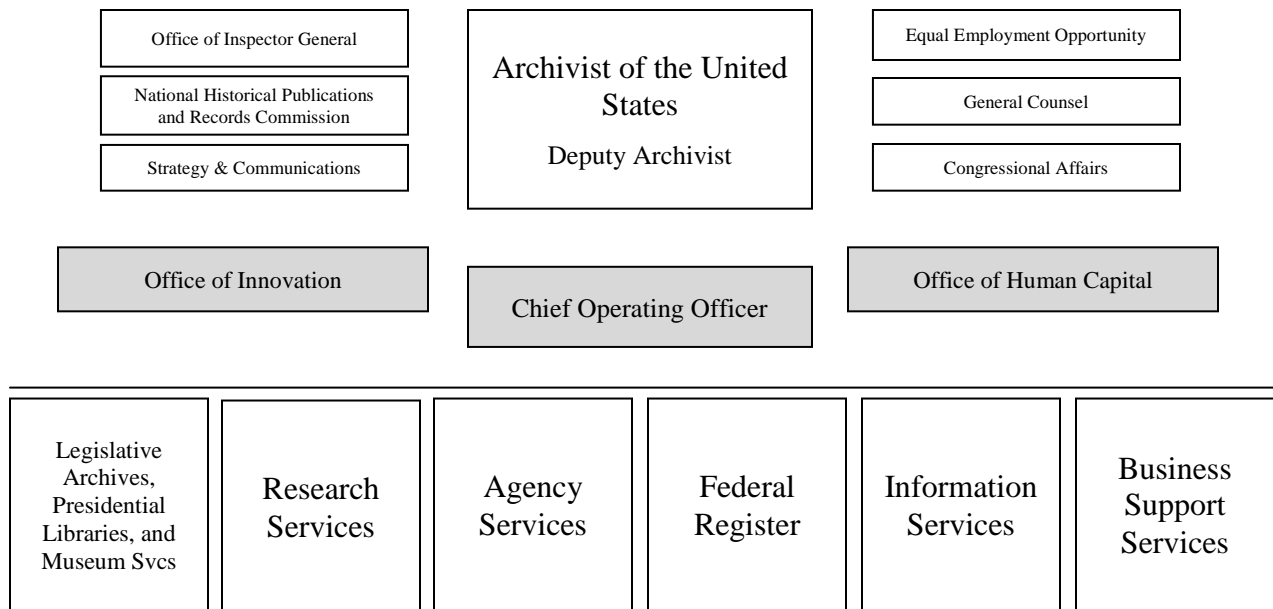
We continue using four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits and evaluations of operations, (3) expansion and refinement of our performance measurement system, and (4) systematic sampling of measurement system effectiveness. Our agency-wide Performance Measurement and Reporting System (PMRS) allows us to collect and synthesize the data needed to measure performance and make evidence based decisions. Using PMRS data we are able to track cycle times, quality, productivity, cost, and customer satisfaction for our products and services. The availability of trend data through PMRS gives the agency the ability to see how things have changed over time.

Our measurement development process ensures the accuracy and reliability of our performance data. We develop metric specifications and work with NARA's business process owners to create an auditable

process. Performance data is validated and verified through quarterly reviews and analysis of the data.

We must succeed in reaching our goals because the National Archives and Records Administration is not an ordinary Federal agency. Our mission is to drive openness, cultivate public participation, and strengthen our nation's democracy through public access to high-value government records. This mission puts us at the very heart of continuity of government, public trust, and the national morale. Whether publishing the *Federal Register*, protecting the critical records assets of Federal agencies nationwide, serving American's veterans, solving the challenge of preserving electronic information so it is readily accessible in the future, or displaying our nation's Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights—to inspire the American public, NARA plays a critical role in keeping America's history and democratic ideals safe and secure. This performance plan is our FY 2016 road map for meeting the great expectations of our nation.

National Archives and Records Administration

Office of Inspector General	**Archivist of the United States**	Equal Employment Opportunity
National Historical Publications and Records Commission		General Counsel
Strategy & Communications	Deputy Archivist	Congressional Affairs

Office of Innovation	Chief Operating Officer	Office of Human Capital

Legislative Archives, Presidential Libraries, and Museum Svcs	Research Services	Agency Services	Federal Register	Information Services	Business Support Services

Figure 1. NARA's Organization Chart (as of January 11, 2015)

Annual Performance Report and Performance Plan

Measuring and Reporting Our Performance

FY 2014 Performance by Strategic Goal

	Strategic Goal **MAKE ACCESS HAPPEN**

Make Access Happen establishes "public access" as NARA's core purpose. *Make Access Happen* states that public access is the ultimate outcome of all of our work. *Make Access Happen* also signals a significant shift in strategy and purpose: We will reach beyond the traditional role of making records available for others to discover, and will *make access happen* by providing flexible tools and accessible resources that promote public participation.

We intend to accomplish some of this goal through partnerships with other organizations that want to publish our holdings on their web sites. Progress in processing Presidential records and making them available may be hindered by external factors such as unusually large numbers of special access requests or Presidential Records Act (PRA)/FOIA requests and the need to review Presidential records page by page.

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

Performance Goal: By 2016, 95 percent of NARA's holdings are described in an online catalog.

Performance Measure	Year	2011	2012	2013	2014	2015	2016
Percent of artifacts described in an online catalog	Target	75	80	85	95	90	95
	Actual	78	88	95	95		
	Status				Met	—	—
Percent of electronic archival holdings described in an online catalog	Target	75	80	85	85	90	95
	Actual	96	87	93	95		
	Status				Met	—	—
Percent of traditional archival holdings described in an online catalog	Target	75	80	85	85	90	95
	Actual	74	81	83	85		
	Status				Met	—	—

Performance Goal: By 2018, Increase the percentage of our holdings processed.

Performance Measure	Year	2011	2012	2013	2014	2015	2016
Percent of archival holdings processed	Target	55	60	65	67	70	70
	Actual	53	60	65	68		
	Status				Met	—	—

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

Performance Measure	Year	2011	2012	2013	2014	2015	2016
Percent of traditional holdings digitized and made available online**	Target	—	—	—	Baseline	—	TBD
	Actual	—	—	—	1.2		
	Status				—	—	—

**Includes records digitized and hosted by both NARA and our partners. Future reports will include those hosted by NARA only.

Analysis and Future Plans

Throughout the year, NARA engaged in several high priority efforts to make access happen by making records available in digital form.   We monitor progress on these efforts as well as on key operations that occur before records are accessible to the public. One area that we monitor is description. On-line archival descriptions provide researchers with information necessary to search NARA holdings remotely, discover relevant records, and quickly access records when they visit NARA public research rooms. Since 2012 we have experienced steady growth in the percent of holdings described each year. NARA met its FY 2014 description goal, increasing the percentage of traditional (non-electronic) archival records described in our on-line catalog to 86 percent. NARA has demonstrated significant progress over FY 2013 performance and is on target to meet the agency's goal to describe 95 percent of its traditional archival holdings on-line by FY 2016.

The volume of holdings that we process each year also serves as a key performance indicator of our success in making records available to the public.   NARA met its processing goal in FY 2014, ending the year with 68 percent of its archival holdings processed. NARA processes archival records to identify statutory and other access restrictions, withhold restricted records, and make the remaining records available for public access. NARA processed over 293,000 cubic feet of records in FY 2014, accepted over 92,000 cubic feet of new, unprocessed archival records, and ended the year with 1.3 million cubic feet of unprocessed records. NARA will continue to focus management attention on the processing goal and is currently reviewing its business processes to identify opportunities to improve efficiency and expedite the release of archival records to the public.

The public's access to our holdings and the information about these holdings is accomplished through the Online Public Access (OPA) system—NARA's online catalog. In FY 2014, significant development milestones were reached in preparation for the FY 2015 launch of the next generation of NARA's OPA system. The new system includes enhanced scalability and improved searchability to handle the influx of millions of digital images contributed by our partners in the coming year. With the launch of the new OPA, our investment in describing and processing NARA's records will provide researchers and the public with continued access to a growing volume of information.

The OPA will also allow the public to participate directly in contributing information about the holdings as a way to improve accessibility of our records. Crowd sourcing of digitization and metadata creation is critical to our success in making access happen. In FY 2015, we will develop a communication plan to build awareness and engagement for public tagging and crowd sourcing. In FY 2016, we will establish technical support for metadata and digital objects to flow from agencies, through internal systems, to the OPA catalog as another means to expedite the process to prepare records for access.

Our digitization program by which we make digital versions of our documents, photographs, maps, movies, and sound recordings available to the public is key to increasing the number of records available to the public online. In FY 2014, we established an internal Digitization Governance Board (DGB) that

will create a digitization plan and govern the digitization process, keeping our customers' needs and our business needs in the forefront. Using public input, we developed a new draft strategy for the agency (*www.archives.gov/digitization/pdf/digitization-strategy-2015-2024.pdf*) that employs five different approaches to digitization. NARA's strategy includes partnerships with private, public, nonprofit, educational, and government institutions; using the public's interest in digitization activities to populate our online catalog; leveraging agency-scanned copies of analog material; promoting a culture of digitization at NARA; and digitizing our own materials. We look ahead to implementing these strategies using pilots such as a researcher scanning effort, to inform our work while we continue to make more of our records available to the public.

NARA's solution to a need for an expandable, scalable set of software tools to continue to receive, ingest, process, preserve, and provide access to electronic records and other digital materials in our custody is the Digital Processing Environment (DPE). This solution will support the functions for ingesting electronic records into our Electronic Records Archives' digital repository and will provide enhanced capabilities to process greater volumes of unrestricted digital materials for public access through NARA's OPA. This year we produced a high-level design for DPE, along with requirements and use cases, to prepare for piloting this capability in FY 2015. Piloting the DPE will allow us to assess performance and refine requirements for further development of the DPE for processing digital materials in FY 2016.

Connect with Customers challenges us to continuously improve customer service, cultivate public participation, and generate new understanding of the importance of records in a democracy. We will continuously engage with and learn from our customers—individuals, organizations, and other Federal agencies. We will build long-term, positive, effective relationships, and provide a consistent customer experience across programs, platforms and locations. We will be an exemplary culture of open government.

Service to our customers is sometimes influenced by factors external to our environment. Unexpected increases in records holdings or public interest in groups of records can significantly increase workloads and response times. We cannot control the response time for FOIAs that must be referred to other agencies. We are dependent upon coordination with Environmental Protection Agency's (EPA) e-rulemaking program office for some of the goals established for improving the Federal rule-making process and with Government Publishing Office (GPO) who manages the contract for development and maintenance of Federal Register 2.0 (FR 2.0).

Objective:	Improve internal and external customer engagement to cultivate and sustain public participation.
	Goal Leader: Research Services

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

Performance Measure	Year	2011	2012	2013	2014	2015	2016
Percent of DD-214/separation requests answered within 10 working days	*Target*	—	—	—	95		
	Actual	93	92	95	94		
	Status				Not Met	—	—
Percent of customers satisfied with retrieving military records from NPRC	*Target*	88	88	90	87	88	88
	Actual	92	90	86	86		
	Status				Not Met	—	—
Percent of Freedom of Information Act requests for Federal records answered within 20 working days	*Target*	88	89	90	85		
	Actual	89	83	83	79		
	Status				Not Met	—	—
Number of FederalRegister.gov "MyFR accounts" created	*Target*	—	—	—	Baseline	35,000	
	Actual	—	—	19,331	30,688		
	Status					—	—
Percent of customers satisfied with NARA scheduling and appraisal services	*Target*	—	—	—	Baseline	—	TBD
	Actual	—	60	—	89		
	Status				—		

Performance Goal: Promote collaboration and participation among NARA's stakeholders and customer groups.

Performance Measure	Year	2011	2012	2013	2014	2015	2016
Number of public program attendees, excluding education	Target	—	—	—	—	—	—
	Actual	474K	369K	470K	309K		
	Status						
Number of education program attendees	Target						
	Actual	336K	310K	324K	299K		
	Status						
Number of researcher visits	Target	—	—	—	—	—	—
	Actual	129K	123K	114K	104K		
	Status						
Number of website visits (i.e. archives.gov, ourdocuments.gov, Presidential Libraries)	Target	—	—	—	—	—	—
	Actual	34M	44M	50M	57M		
	Status						
Number of physical visits to museums and exhibitions	Target	—	—	—	—	—	—
	Actual	3.0M	3.1M	3.2M	3.4M		
	Status						

Analysis and Future Plans

NARA is committed to continuously improving customer service both inside and outside the agency. Our goal is to foster understanding and awareness of NARA priorities, initiatives, and results through effective external outreach, quality customer service and information sharing. We want to truly connect with our customers so they seek NARA as their "preferred destination" for authentic sources of information. To reach this goal, we welcome and encourage customer participation to provide a unified experience across all business lines. We cultivate our own internal customer service to better serve our internal customer/communities, each other.

We work to coordinate our efforts to ensure that our customers' needs are met. Systematically collecting customer feedback, measuring our performance against set standards, enhancing processes through new technologies, and ensuring customer service training for staff are just a few of the strategies that we use to monitor and improve our performance and services. One of NARA's key areas of customer interaction is at the National Personnel Records Center (NPRC). The NPRC is a central repository for military and civilian personnel, medical, and related records. Approximately 60 million official military personnel records of veterans of all branches of service are stored here. In March and September of each year, NARA surveys NPRC customers. NARA just missed its FY 2014 goal—only one percent below the goal-- for customer satisfaction with the work of the NPRC in handling requests for military personnel and medical files. Although the results are consistent with prior year performance, NARA will add new employees to NPRC customer service functions in FY 2015 to increase performance in this area.

NARA just missed its timeliness goal for responding to requests for military separation records. Nearly 2,000 requests for military separation records are received daily and most requests for separation records are from veterans who need to demonstrate honorable service in order to qualify for benefits. NARA aims to respond to 95 percent of these requests within 10 working days or less.

Achieving our Freedom of Information Act (FOIA) response performance standards remains challenging. Our existing processes could not keep up with the increase in the number and complexity of FOIA requests in FY 2014. NARA did not meet its goal for responding to FOIA requests within 20 days in FY

2014. Under FOIA (5 U.S.C. 552, as amended), any person may request and obtain access to Government information in Executive Branch agency records, subject to some restrictions. NARA responds to FOIA requests for its own operational records as well as requests for access to NARA's holdings of over 11 billion pages of archival records. FOIA requests received by NARA nearly doubled in FY 2014, growing from 12,000 requests in FY 2013 to a slightly more than 22,000 in FY 2014. Even with the significantly increased volume of FOIAs, NARA completed slightly more than 6,700 FOIAs than in FY 2013. NARA has since established a new "triage" process to quickly identify requests for records that are already publicly available and do not require screening. NARA has also established an internal working group to specifically focus on improving processes and technology associated with responding to FOIA requests.

NARA moved forward on several projects to improve customer service. For our external customers, we examined streamlining our telephone operations to more quickly and efficiently connect customers to staff who can answer their questions. In addition, we developed requirements for an online nationwide researcher registration system to promote uniform processes across the country and enhance the security of our holdings. With acquisition activity underway in 2015, we plan to implement the system in FY 2016 to increase customer satisfaction levels with the registration process nationwide.

Social media and new technologies allow us to explore new approaches to strengthen our commitment to customer engagement. From FY 2013 to FY 2014, we saw a tremendous increase in the number of views of our *Facebook pages* (123 percent increase), *YouTube* channels (29 percent increase), and *Flickr* (300 percent increase) while page views declined at our *Archives.gov* blogs (16 percent decrease), *Tumblr blogs* (19 percent decrease), and *Our Archives Wiki* (37 percent decrease). We will monitor the triggers for increased engagement to understand the most effective means to involve and solicit input from our customers.

NARA is building relationships with internal and external customers by fostering a community around our records and the NARA staff who work with them. Through the Internet and social media, we are able to engage the public in efforts to make our records available. We achieved significant progress on a project to digitize World War I and World War II films and make them available through *YouTube*. Using online transcription and crowd-sourcing tools, nearly 400 online volunteers now support our transcription activities. While transcription activities will continue throughout FY 2015, we will also explore crowd-sourcing tools and platforms and develop a plan in FY 2016 to manage the reuse of our records on third-party platforms such as Wikimedia and the Digital Public Library of America (DPLA).

Customer engagement is also strengthened by our ability to increase and encourage public participation in areas of civic awareness, responsibility and knowledge. Increased collaboration and coordination among our Presidential Libraries' education, exhibit, and public programs furthered our development of a detailed, unified national outreach plan for NARA. This plan promotes NARA as a nationwide advocate for civic engagement and lays out the work needed to move the agency toward one of our transformational outcomes, *One NARA*. As *One NARA,* we will deliver programs across the agency driven by common civic literacy and engagement goals. We will continue to monitor participation levels in our public and education programs, visits—both physical and online—to ensure that efforts to engage the public are realized.

Improving the customer's experience with our *Federal Register* is another way we are working to improve customer engagement. NARA's *Federal Register* is a daily publication that informs the public of Executive branch agency actions and gives the public the opportunity to comment on those actions. The *Federal Register* is also a place where the public can find an organized presentation of all Federal rules. NARA plans to *develop a virtual regulatory environment to increase transparency and expand*

public participation in the Federal rule-making process. This effort has two dimensions – an outward facing effort directed at improving the experience of public participation in the process, and an inward facing effort directed at improving the experience of Federal agencies that develop, review comments about, and promulgate Federal regulations. In large part, these efforts both involve synchronizing existing resources, particularly the *federalregister.gov* (operated by NARA, in partnership with GPO) and *regulations.gov* (operated by the EPA) websites. In cooperation with EPA and GPO, we are working to achieve goals relating to both dimensions of this effort. The successful launch of our revamped web portal for *Federal Register* document submissions in FY 2014 improved the process for Federal agency customers and streamlines the public's comment submission process. In the next two years, we will synchronize the *federalregister.gov* and the *regulations.gov* platforms and deliver an improved, streamlined process to the public in 2016.

Strategic Goal
MAXIMIZE NARA'S VALUE TO THE NATION

Maximize NARA's Value to the Nation recognizes public access to government information creates measurable economic value, which adds to the enduring cultural and historical value of our records. We will continue to be an effective steward of the government resources that we hold in trust and will constantly strive to be a responsive 21st-century government agency.   We will strive to implement new business practices to achieve greater efficiency and effectiveness in all we do and ensure institutional sustainability.

To achieve this goal, however, also involves the concerted effort of Federal agencies. Federal agencies must devote resources to perform records management and see records management as a core function of their business operations. They must assign resources to perform regular self-assessments of records management compliance and be trained in Federal records management policy. Effective records management throughout the Federal government is essential.

Objective:	**Reform and modernize records management policies and practices within the Federal government to effectively support the transition to a digital government.**
	Goal Leader: Agency Services

Performance Goals:

By 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format.

By 2019, Federal agencies will manage all permanent electronic records in an electronic format.

Performance Measure	*Year*	*2011*	*2012*	*2013*	*2014*	*2015*	*2016*
Increase the percentage of agencies in the low risk category of the Records Management Self-Assessment	*Target*	—	—	—	>20	TBD	TBD
	Actual	6	10	20	29		
	Status				Met	—	—

Objective:	**Drive public and commercial use and re-use of NARA records to create measureable economic activity.**
	Goal Leader: Business Support Services

Increase the public and commercial use of re-use of NARA records.

Performance Measure	*Year*	*2011*	*2012*	*2013*	*2014*	*2015*	*2016*
Increase the number of archival electronic records available in a machine-readable open format with standard metadata.	*Target*	—	—	—	—	—	Baseline
	Actual	—	—	—	—	—	
	Status				—	—	—
Number of traditional records made available to the public through NHPRC grants (arrange, cataloged, digitized) (cubic feet)	*Target*	—	—	—	—	—	—
	Actual	60,791	47,337	38,900	47,265		
	Status				—		

Each year records management becomes more challenging. The volume of electronic records created in various formats across a range of information technology platforms grows and evolves. With proper records management, we minimize the risk of losing permanent records that are not only valuable both culturally and historically, but also make a measurable economic impact to the nation. We work diligently with Federal agencies to improve their records management programs to ensure that the permanent records of our nation are available and accessible.

NARA met its FY 2014 goal of increasing the number of records management programs in other federal agencies that NARA categorized as "low risk", based on their responses to the annual Records Management Self Assessment (RMSA). NARA requires Federal agencies to assess the effectiveness of their records management practices on an annual basis, through the RMSA tool. NARA validates agency responses—by requiring supporting documentation and through follow-up interviews—and assigns a risk category based on the validated responses. "Low risk" agencies have 90 percent or higher positive responses to assessments of their records management policies, practices, and performance. NARA attributes the steady increase in "low risk" agencies to enhancements to the records management policies and training that NARA provides to other agencies, improved coordination between NARA and agency records officers, and increased management attention resulting from the issuance of OMB Memorandum M-12-18, *Managing Government Records Directive*. This directive, issued by the Director of OMB and the Archivist of the United States in FY 2012, identifies ways to modernize the management of Government records and reform records management policies and practices in the Federal Government with emphasis on managing electronic records.

NARA's objective to "reform and modernize records management policies and practices within the Federal government to effectively support the transition to a digital government" aligns with the Obama Administration's Digital Government Strategy that instructs agencies to provide better digital services to the public.   One way we have chosen to improve digital services is to strengthen communication with our stakeholders through collaboration. We strive to reduce the burden on individuals and create a more balanced and consistent approach for managing electronic records throughout the Federal Government. Collaboration efforts in 2014 resulted in the development and issuance of guidance on file formats that agencies may use when transferring permanent electronic records to NARA. We also produced a report to describe feasible approaches for the automated management of email, social media, and other types of digital record content, including advanced search techniques. As more guidance products and collaborative activities focused on transitioning to a digital government become increasingly common, we anticipate a continued trend where agencies with low risk records management practices become more prevalent.

Another way we are working to maximize NARA's value to the nation is to drive public and commercial use and re-use of NARA records. Throughout FY 2014, we designed and developed an enhanced Online Public Access (OPA) application and developed a public application programming interface (API). The API will benefit both NARA and the public by stimulating and expanding the use and re-use of the content in our online public catalog. The full complement of OPA, along with the API, planned for launch in FY 2015, will include improved search and scalability, mobile accessibility, and crowd-sourcing to allow users to contribute to the description of records of the National Archives. We aim to dramatically expand the possibilities for the public's use of NARA's records in FY 2016 and extend transformation of record series from our older systems for download through OPA.

Two measures previously identified for baseline establishment in FY 2014 will be discontinued. We learned that the data needed for these metrics (i.e. number of NARA-related data sets published in Data.gov and number of downloads of NARA data sets from Data.gov) is infeasible to collect. We will consider other performance measures to better understand progress against these strategic objectives.

BUILD OUR FUTURE THROUGH OUR PEOPLE

Build Our Future Through Our People is our commitment to provide all employees with development and growth opportunities necessary to successfully transition to a digital environment. We have an opportunity to "become more" – to find ways to be better at our jobs, smarter in our work, savvier in our decisions, and bolder in our commitment to leading the archival and information professions to ensure continued relevance and flourishing of archives in a digital society. We will build a modern and engaged workforce, develop the next generation of leaders, and encourage employees to collaborate, innovate, and learn. We will provide a workplace that fosters trust, accepts risk, and rewards collaboration.

A key external factor to our success here depends on qualified people in underrepresented groups applying for positions at NARA in response to our recruitment efforts.

Objective:	Create and sustain a culture of empowerment, openness, and inclusion.						
	Goal Leader: Office of Human Capital						

Performance Goal: Expand and enhance communication activities to effectively inform NARA's workforce.

Performance Measure	*Year*	*2011*	*2012*	*2013*	*2014*	*2015*	*2016*
Improve NARA's average score on EVS questions about empowerment, openness, and inclusion	*Target*	—	—	—	>51		
	Actual	—	—	—	52		
	Status				Met		
Improve NARA scores on EVS questions about internal communications	*Target*	—	—	—	>49	>50	TBD
	Actual	52	49	50	50		
	Status				Met		
Communication effectiveness score from Internal Services Satisfaction Survey	*Target*	—	—	—	Baseline		
	Actual	—	—	—	67		
	Status				—		

Objective:	Ensure we have a diverse workforce with skills necessary to fulfill our mission.						
	Goal Leader: Office of Human Capital						

Performance Goal: Improve the quality and speed of the hiring process.

Performance Measure	*Year*	*2011*	*2012*	*2013*	*2014*	*2015*	*2016*
Improve NARA's average score on the EVS questions about workforce diversity	*Target*	62	65	65	>55	>56	TBD
	Actual	56	55	55	56		
	Status				Met		
Increase the percent of NARA positions filled in 80 days.	*Target*	—	—	40	45	50	>50
	Actual	—	—	68	42		
	Status				Not Met		

In FY 2014, NARA achieved its goal for employee empowerment, openness, and inclusion, as measured by employee responses in the annual Employee Viewpoint Survey (EVS). The data shows that 52 percent of employees responded "Agree" or "Strongly Agree" to EVS questions related to NARA programs, activities, and attitudes related to employee empowerment, openness, and inclusion. NARA's continual commitment to provide all employees with the training and opportunities necessary to increase performance capability improve morale, and enhance productivity will be a driving force for NARA in the present and future fiscal years. Development and engagement of our staff is also essential to this process. In FY 2014, we analyzed and evaluated our organizational learning and development (L&D) model. The resulting report outlines a vision and goals for NARA's organizational L&D model and supporting L&D infrastructure. The framework, NARA University (NARA-U), organizes resources and knowledge areas so that the right information and resources (e.g., a training course, policy, a job aid, etc.) reach the right employees to improve workplace performance and employee development. In preparation for FY 2016 L&D activities, we will begin during FY 2015 to create and implement an organizational Archives Technician Development Program for staff to further enhance their professional careers within the Archival professions.

In addition, NARA met its FY 2014 diversity goal, measured by employee responses to EVS questions related to workplace diversity. In FY 2014, 56 percent of NARA employees responded "Agree" or "Strongly Agree" to EVS questions about management's commitment to a workforce representing all segments of society. In FY 2014, NARA established new employee affinity groups, giving employees of similar backgrounds an opportunity to interact, celebrate, and share their culture or characteristics with other employees, to promote greater diversity in the workforce. We made a significant effort to enhance NARA's internal communications at all levels. We have had success with NARA's Internal Collaboration Network (ICN), a software application that encourages both structured and unstructured conversations on any topic. Interested staff on the ICN are learning about—and contributing to—developments from all over NARA and at all levels. We plan to pilot the availability of the ICN on mobile devices in FY 2015, with the expectation of full implementation by FY 2017.

Our expansions of our internal communications platform in FY 2014 led to the launch of digital signage at facilities across the nation. During FY 2014, NARA expanded the availability of digital signage to 4 additional locations, bringing the total number locations to 11. The use of digital signage allows NARA to customize messaging to meet site specific information needs and communicate information directly to locations disconnected from traditional communication channels. This approach is critical to increasing the quality of NARA's internal communication and enhancing employee engagement.

In addition to our internal communications efforts in FY 2014 we offered several supervisor communication training opportunities for NARA management. We also launched an internal communications blog available to all NARA staff, called "We the People" through our Internal Collaboration Network (ICN). Since the launch of "We the People", NARA staff has showcased accomplishments, NARA news, and helpful resources to have as an employee. Our intention for FY 2015 is to continue the availability of such training, and offer a toolkit of communications resources for our managers and supervisors to excel in working with all of our staff at NARA. To continue the support to management and employees communications skills, in FY 2016 we plan to expand and modernize our communication channels, by creating several communications outlets which will include both physical

and online access to accommodate NARA's diverse staff dynamic.

Our ability to recruit, sustain, and retain a 21st-century workforce is essential to achieving mission success both now and in the future. Innovative practices are being put in place to ensure that we create an environment where the workforce has the skills and competencies to fulfill the mission; managers and supervisors have the tools they need to effectively manage the workforce; and employees have a work environment where they can be productive and excel. In FY 2014, we focused on the development of a Senior Executive Service (SES) performance certification program to strengthen pay-for-performance principles and ensure that performance plans align performance to agency mission and focus on measurable results. In addition, we successfully transitioned to an agency-wide standard performance cycle that puts all NARA employees on the same performance schedule and brings consistency and equity to the performance recognition process. Working towards FY 2016, we plan to extensively review and update our internal policies, such as our Telework, Wellness, and Work-Life Programs, to reinforce the support we have for the well-being of our staff.

Career advancement opportunities and mobility within an organization motivates staff and strengthens commitment to achieving the agency's mission. This year we launched a process to build career paths at NARA. This process includes adjusting and creating career paths to capture skills needed now and in the future, documenting and communicating what is needed to advance, and identifying resources and programs to support career growth. We started by identifying learning and development requirements for the archival occupational series (1420 and 1421) to help create and identify occupational development programs for those series. Our overall goal is to provide employees with a structure that illustrates both horizontal and vertical career paths across various occupational series at NARA.

Federal Records Management Evaluations

Under 44 U.S.C 2904(c)(8), the Archivist of the United States is required to report to Congress and the Office of Management and Budget (OMB) annually on the results of records management activities. NARA fulfills this requirement through the Annual Performance Report. This report focuses on NARA's activities related to the Managing Government Records Directive (OMB/NARA M-12-18); records management oversight of Federal agencies; records management training; records scheduling and appraisal; and reporting on allegations of unauthorized disposal or removal of Federal records.

Managing Government Records Directive

The signature initiative in the Office of the Chief Records Officer remains the Managing Government Records Directive, jointly issued by the Office of Management and Budget and the National Archives and Records Administration, on August 24, 2012. The Directive set in motion numerous, substantial activities as NARA and Federal agencies began to implement the goals and actions contained in the Directive. The Directive covers the period from 2012 through full implementation at the end of this decade.

This Directive creates a robust records management framework that complies with statutes and regulations to achieve the benefits outlined in the 2011 Presidential Memorandum. This Directive was informed by agency reports submitted pursuant to Sec. 2 (b) of the Presidential Memorandum and feedback from consultations with agencies, interagency groups, and public stakeholders.

This Directive requires that to the fullest extent possible, agencies eliminate paper and use electronic recordkeeping. It is applicable to all executive agencies and to all records, without regard to security classification or any other restriction.

Two central goals are contained in this Directive along with numerous actions. These two goals are:

1.1 *By 2019, Federal agencies will manage all permanent electronic records in an electronic format,* and

1.2 *By 2016, Federal agencies will manage both permanent <u>and</u> temporary email records in an accessible electronic format.*

In support of the ongoing activities and actions in the Directive, NARA coordinated or completed the following:

> **Social Media Bulletin 2014-02 (October 25, 2013)**
>
> NARA released a new Bulletin called "Guidance on Managing Social Media Records." This Bulletin provided high-level recordkeeping requirements and best practices for capturing records created when Federal agencies use social media.
>
> **Transfer Bulletin 2014-05 (January 31, 2014)**
>
> NARA released a new Bulletin called "Revised Format Guidance for the Transfer of Permanent Electronic Records." NARA produced this Bulletin after extensive review of requirements for

the transfer of permanent electronic records from agencies. The Bulletin describes several additional categories of electronic records and expands the number of acceptable formats that NARA will accept for transfer, based on their sustainability.

Mobility Blog Posts (March 2014)

Last year, NARA experimented with a new way of sharing records management best practices with agencies. In the spring, NARA developed a series of three posts for the Records Express blog asking questions about the records management implications of mobile computing. These posts, while not providing official guidance, provided preliminary information in an emerging area of concern for Federal records managers. They were well-received by our audience and could serve as a model for future guidance efforts.

OMB Memo M-14-16 with attached NARA Bulletin 2014-06 (September 15, 2014)

The central animating issue in regards to the Directive has been the management of email by Federal agencies. Last year, NARA issued the new Capstone guidance to agencies. This year, an additional OMB/NARA Bulletin (M-14-16) followed to reaffirm the importance of recordkeeping and serve as a reminder that agencies, and employees, are responsible for properly managing and retaining email records.

Automated Electronic Records Management Report and Plan (September 19, 2014)

NARA issued this report and plan as required in the Directive. The report addresses categories of suitable approaches for automating electronic records management and discuses their outcomes, benefits, and risks. It covers the goals of electronic records automation, what work has been accomplished to date, NARA's stance on DOD 5015.2, and a framework of five suitable approaches to automation that the Federal government can pursue. The plan describes a framework to help agencies meet the goals of the Directive and lists ideas or activities that will help NARA, agencies and stakeholders implement Federal electronic records management.

Records Management Maturity Model

NARA worked with several agencies this past year to develop a government-wide analytical tool to evaluate the effectiveness of records management programs. NARA analyzed a variety of models from the private sector, foreign governments, and federal agencies, including NARA's analytical tool, the Records Management Self-Assessment (RMSA). NARA determined that there was a need for a model that was simple to understand and implement based on federal statutes and regulations for records and information management (RIM). NARA and members of the Federal Records Council collaborated to create a maturity model that could be used by federal agencies to assess their RIM programs.

Agency Reporting on Unscheduled Records, and 30 Years and Older Records

NARA received reports from Federal agencies through the annual Records Management Self-Assessment identifying permanent records that are 30 years old and older and records that are unscheduled. These reports were submitted under Directive requirements 2.2 and 2.5. NARA staff analyzed these reports and presented the results to Federal agencies at the August 2014 Agency Services Bimonthly Records and Information Discussion Group (BRIDG) meeting. This

presentation is available on NARA's records management web site and covers the reporting results including findings and next steps for FY 2015.

General Records Schedules (GRS)

The General Records Schedules (GRS) Team in the Office of the Chief Records Officer issued GRS Transmittal 23, which included six new GRS that replaced approximately a quarter of the old GRS. The transmittal also included schedule specific FAQs and an implementation guide. The Team also continued to work on six schedules for GRS Transmittal 24, expected in spring 2015, and started work on 10 new schedules for GRS Transmittal 25, expected in spring of 2016.

Senior Agency Official (SAO) for Records Management Engagement

The Directive established a new position in agencies for the broader, agency-wide responsibilities for records management -- a Senior Agency Official (SAO) for records management. The SAO is responsible for coordinating with the Agency Records Officer and appropriate agency officials to ensure the agency's compliance with records management statutes and regulations. NARA has been meeting with SAOs in a variety of ways to discuss the Directive goals and need for strategic planning in agencies to comply with the provisions of the Directive. For example, in January 2014, the Archivist and the Administrator of OMB's Office of Information and Regulatory Affairs (OIRA) jointly hosted a meeting of Cabinet-level SAOs for information sharing purposes. In addition, throughout the year NARA's Chief Records Officer for the U.S. Government and the General Counsel held individual meetings with the SAOs from the Department of Transportation, Securities and Exchange Commission, National Aeronautics and Space Administration, Department of Veterans Affairs and Department of Health and Human Services, among others.

SAO Reporting and NARA Analysis

The Directive required NARA to produce a report template for a single annual report that each SAO will send to the Chief Record Office for the U.S. Government commencing on October 1, 2013. NARA issued a reporting template in October 2013 and received 107 SAO reports from agencies by March 2014.

NARA formed an internal working group to analyze the reports. The analysis showed that agencies are working toward managing all email in electronic format by the 2016 due date by using a variety of tools and methods. Also, the analysis indicated that agencies were beginning to explore and develop ways to manage permanent electronic records in electronic format by the 2019 due date.

Agencies are concerned about challenges such as funding, information technology issues, staffing, training, lack of standards, and conflicting priorities. Agencies outlined areas in which NARA can provide assistance, such as improved technical guidance and training. Finally, the analysis showed that the Capstone approach to managing email was positively received with 42% of agencies indicating they were either considering the approach or were currently implementing it. NARA will be issuing the final version of the analysis as the "2013 Senior Agency Official (SAO) Annual Report Analysis Executive Report" by the end of the calendar year.

The 2014 SAO reporting template was revised due to the 2013 experience and was designed to

accomplish two major objectives. The first objective is to obtain measurable information on how agencies are meeting the Directive goals. The second objective is to obtain information from agencies to share with the rest of the Federal government regarding model records management practices.

Records Management Oversight

The Records Management Oversight Section of the Policy Analysis and Enforcement program of the Office of the Chief Records Officer is responsible for conducting the annual Records Management Self-Assessment and evaluations of records management programs targeting specific agencies or topics. Major activities in FY 2014 included issuing a report based on data from the 2013 annual agency Records Management Self-Assessment (RMSA), conducting three records management inspections, and four records management program reviews.

Agency Records Management Self-Assessments

The annual agency Records Management Self-Assessment (RMSA) has proven to be an effective way for NARA to gather information from Federal agencies and give feedback they can use to improve their programs. The goal of the RMSA is to measure how effective Federal agencies are in meeting the statutory and regulatory requirements for records management. The self- assessment gathers data about agencies' records management policies and practices and compliance with Federal records management regulations and NARA guidance.

In FY 2014 year we aligned the RMSA reporting period with other recordkeeping reporting requirements in the *Managing Government Records Directive* (M-12-18). NARA issued the RMSA to 267 Federal agencies in October 2013. The deadline to respond was January 31, 2014. The resulting, RMSA 2013 report, released in November 2014, marks the fifth RMSA report.

There continues to be gradual improvement in RMSA scores, which reflects an increasing understanding within agencies of the importance of recordkeeping requirements. The increase in the number of agencies achieving RMSA scores in the moderate and low risk categories, while gradual, indicates a degree of success by agency respondents and NARA in making adjustments and changes to the way Federal records are created, maintained, and accessed.

With each subsequent self-assessment we continue to improve the quality of the questions based on results and feedback from responders. The reports from these assessments can be found at http://www.archives.gov/records-mgmt/resources/self-assessment.html.

Records Management Inspections

Under 44 U.S.C 2904(c) (7) and 2906, NARA is authorized to inspect the records management programs of Federal agencies for the purpose of recommending improvements. NARA currently inspects a limited number of agencies annually, targeting highly significant aspects of the agency's records management program.

In 2014, NARA completed inspections of the Nuclear Regulatory Commission; the Securities and Exchange Commission, and the National Transportation Safety Board. Highlights and summaries are below. (NARA's complete inspection reports for these and previous inspections are available at:

After all inspections we work with the agencies to develop plans of corrective action with measurable milestones that we then monitor until all actions are completed. We are currently monitoring plans for National Geospatial-Intelligence Agency (NGA), Office of the Secretary of Defense (OSD), Department of Homeland Security's Citizenship and Immigration Services (USCIS) and Immigration Customs Enforcement (ICE) bureaus, and the National Nuclear Security Administration.

Records Management Inspections

Nuclear Regulatory Commission

The general purpose of this inspection was to verify that the records management programs at the NRC have sufficient policies, processes, and procedures for managing active records; ensuring that the storage of inactive records meet regulatory standards; that records are adequately maintained and managed in their electronic document management system known as ADAMS; and ensuring that temporary and permanent records are being handled according to their approved retention schedules. The inspection also examined the controls that the NRC has implemented to mitigate the risks to its records and information and to ensure that agency policies and procedures are implemented. This included verifying that operating policies and procedures are clearly written and communicated, and procedures are in place to implement changes in laws, regulations, and guidance.

Securities and Exchange Commission

This inspection had two purposes. The first is to examine the progress SEC Office of Records Management Services (ORMS) has made since a 2012 SEC OIG report on the agency's records management program. Second, this inspection serves to validate the SEC's score of 100 out of 100 possible points on the 2013 Records Management Self-Assessment (RMSA). This score indicates that the agency regards itself as fully compliant with regulations under 36 Code of Federal Regulations (CFR) Chapter XII, Subchapter B. In addition to these objectives, NARA sought to determine if SEC's records management program has policies, procedures, and/or methods that could serve as models or examples for other Federal agencies.

National Transportation Safety Board

The purpose of this inspection was to determine if the NTSB records management program had sufficient policies and procedures to appropriately manage active and inactive records, make the transition from paper to electronic records management, and ensure the transfer of permanently valuable records to the National Archives. The NTSB was chosen in part due to the fact that this agency had not been consistently working with the National Archives to schedule records, or routinely transfer permanent records.

Records Management Training for Federal Agencies

In FY 2014, NARA trained over 3,400 individuals in records management policy and practices. NARA's National Records Management Training (NRMT) program also awarded 315 certificates in Federal Records Management Training to Federal agency customers. Additionally, NARA's staff of instructors delivered over 40 virtual training sessions, including Basic Records Operations and Vital Business Information.

In addition to instruction, the NRMT focused on developing new content and new methods for delivering the content. In FY 2014, the NRMT continued to develop more online content available on NARA's You Tube channel, tested online learning development software, began development of an asynchronous Electronic Formats workshop and developed a series of video FAQs for ERA. Also in FY 2014, the NRMT completed updates to many of the synchronous training courses including Knowledge Areas (KA) 1-6. Additionally, the NRMT collaborated with the Federal Records Officer Network to design an asynchronous Records Management 101 course that NRMT will develop during FY 2015. This course is designed to help agencies meet Directive requirement 2.4, *Agencies Must Establish Records Management Training*.

In conjunction with all of the course changes, the NRMT developed a set of materials to help instructors. The "Train the Trainer" project included a set of training videos to help newer instructors learn the NRMT curriculum as well as a tool to track changes in NARA policies and procedures that affect the NRMT course content. Together, these resources provide full-time and part-time instructors the tools they need in order to prepare for teaching courses.

Records Scheduling Backlog Project

Since FY 2012, NARA has focused resources on reducing records schedules that had been submitted more than two years prior to the current fiscal year ("backlog schedules"). When NARA began the initiative, 210 schedules qualified as backlog schedules. At the end of FY 2014, the number had been reduced to 13. Every year, however, new schedules enter the backlog as they become two years old. At the start of FY 2015, NARA had 54 backlog schedules pending approval. This is a reduction of 75% from the start of the initiative.

In FY 2015, NARA will continue to track backlog schedules and focus on their completion. In addition, NARA will begin a pilot to implement a streamlined process to approve schedules covering clearly temporary records. This pilot will be conducted during the first and second quarters of FY 2015 to test a process whereby records schedules are considered for expedited scheduling based on having low potential research and other secondary value. Agencies and/or appraisal staff will complete questionnaires that help determine if records are eligible to be posted quickly to the Federal Register for comment and approval.

NARA also will continue prioritizing those schedules that are or will become backlog in the next fiscal year, and will track those records schedules more closely to facilitate their completion before the end of the fiscal year. NARA will continue to partner with agencies to prioritize schedules and to increase the number of schedules completed within 2 years. NARA is also continuing work on revising the General Records Schedules to provide for more coverage of agency records so that Federal agencies will not be required to submit as many agency-specific records schedules.

Alleged Unauthorized Disposition of Federal Records

Under 44 USC 3106, Federal agencies are required to notify the Archivist of the United States of any alleged unauthorized disposition of the agency's records. NARA also receives notifications from other sources such as the news media and private citizens. NARA establishes a case to track each allegation

and communicates with the agency until the issue is resolved. Summary statistics on FY 2014 cases are as follows:

Open cases, start of FY 2014:   41 *
Cases opened in FY 2014:   22
Cases closed in FY 2014:   24
Open cases, end of FY 2014:   39

* Includes Department of Justice, Federal Bureau of Investigation case involving Classification 63 files, which opened in FY 2013, but inadvertently was not reported in the FY 2014 Performance and Accountability Report (PAR).

Of the 39 cases open at the end of FY 2014, ten cases are involved in ongoing litigation and two cases are under investigation by the agency itself. NARA monitors the status of such cases and does not report them individually here. Table 1 lists the 27 cases open at the end of FY 2014 and pending action by the agency or review by NARA. Table 2 lists the 24 cases closed in FY 2014.

Table 1: Open cases pending agency action or NARA review

Case Opened	Agency	Records	Status
August 1998	**Dept. of Army**, Office of Deputy Chief of Staff for Operations and Plans	Records of action officers	Pending agency response or follow-up
August 2006	**Dept. of Navy**, U.S. Marine Corps	Records relating to 2005 incident in Haditha, Iraq	Pending NARA review
May 2008	**Dept. of Defense**, Defense Intelligence Agency	Video recordings of interrogations of terrorism suspect	Pending agency response or follow-up
December 2008	**Dept. of Defense**, Office of Secretary of Defense	Documents relating to torture issue	Pending agency response or follow-up
November 2009	**Dept. of Defense**, Office of Secretary of Defense	E-mail and electronic records of Coalition Provisional Authority, Iraq	Pending agency response or follow-up
March 2010	**Dept. of Interior**, Bureau of Indian Affairs, Office of Special Trustee for American Indians	Records at agency locations in western U. S.	Pending agency response or follow-up
December 2010	**Dept. of Energy**	Oil shale research records	Pending NARA review
April 2011	**Dept. of Energy**	Records relating to Yucca Mountain site	Pending agency response or follow-up
April 2011	**Dept. of Homeland Security**	Water-damaged records of Office of Intelligence & Analysis	Pending agency response or follow-up
April 2011	**Dept. of Homeland Security,** Federal Emergency Management Agency	Remedial Action Management Program records	Pending agency response or follow-up

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Case Opened	Agency	Records	Status
October 2011	**Office of Personnel Management**	Electronic records relating to USAStaffing system	Pending NARA Review
December 2011	**Dept. of Defense,** Joint Staff	Emails of Lt. General Stanley McChrystal	Pending agency response or follow-up
December 2011	**Dept. of Navy,** U.S. Marine Corps	Interrogations relating to 2005 incident in Haditha, Iraq	Pending NARA review
September 2012	**Dept. of Defense,** U.S. Central Command	Records of fuel supply and delivery in Afghanistan	Pending NARA review
September 2012	**Dept. of Energy**	Use of personal email for official business	Pending agency response or follow-up
October 2012	**Department of Homeland Security**	Emails relating to FEMA grant funds	Pending agency response or follow-up
February 2013	**Peace Corps**	High-level officials' daily activity schedules	Pending agency response or follow-up
June 2013	**Dept. of Veterans Affairs**	Loan and grant files	Pending agency response or follow-up
July 2013	**Dept. of Navy**	Ship plans and blueprints	Pending agency response or follow-up
January 2014	**Dept. of Interior,** U.S. Geological Survey	Records at Astrogeology Science Center, Flagstaff, Arizona	Pending agency response or follow-up
February 2014	**Dept. of Justice,** Federal Bureau of Investigation	Unspecified case files	Pending agency response or follow-up
June 2014	**Environmental Protection Agency**	Region 10 email relating to Bristol Bay, Alaska, matter	Pending agency response or follow-up
August 2014	**Dept. of Energy,** National Nuclear Security Administration	Los Alamos National Laboratory records	Pending agency response or follow-up
September 2014	**Dept. of Defense,** National Defense University	Records of former NDU President	Pending agency response or follow-up
September 2014	**Dept. of Homeland Security**	Surveillance video of FEMA facility	Pending agency response or follow-up
September 2014	**Dept. of Homeland Security,** Federal Emergency Management Agency	Surveillance video and employee's email	Pending agency response or follow-up
September 2014	**Dept. of Treasury,** Internal Revenue Service	Form 3413 Transfer Requests	Pending agency response or follow-up

Table 2 covers cases of alleged unauthorized disposition closed in FY 2014. The table specifies those allegations that are founded, for which the agency takes corrective action to prevent additional unauthorized dispositions.

Table 2: Cases closed in FY 2014

Case Opened	Agency	Records	Resolution
March 1999	**Dept. of Interior**, Bureau of Indian Affairs	Records of Crow Agency, Montana	Allegation founded – corrective action taken
June 2010	**Securities and Exchange Commission**	Matter Under Inquiry files	Allegation founded – corrective action taken
September 2011	**Securities and Exchange Commission**	Investigative case files	Allegation not founded
January 2012	**Administrative Conference of the United States**	Alienation of records	Allegation founded – corrective action taken
February 2012	**Administrative Conference of the United States**	Financial disclosure forms	Allegation founded – corrective action taken
June 2012	**Dept. of Agriculture,** Farm Service Agency	Records destroyed by fire in Enterprise, Oregon	Allegation founded – corrective action taken
September 2012	**Environmental Protection Agency ****	Email of Administrator, Region 8	Allegation founded *** – corrective action taken
March 2013	**Equal Employment Opportunity Commission**	Records relating to job vacancy	Allegation not founded
August 2013	**Dept. of Army**	Wartime awards records	Allegation founded – corrective action taken
August 2013	**Dept. of Justice,** Federal Bureau of Investigation	Classification 63 files	Allegation founded – corrective action taken
August 2013	**U. S. Agency for International Development**	Records in South Africa post	Allegation founded – corrective action taken
October 2013	**Dept. of Interior,** Bureau of Land Management	Mining claim records	Allegation founded – corrective action taken
October 2013	**Nuclear Regulatory Commission**	Allegation case files	Allegation founded – corrective action taken
November 2013	**Dept. of Interior,** Office of Surface Mining	Rulemaking records	Allegation founded – corrective action taken
December 2013	**Dept. of Commerce,** U. S. Patent and Trademark Office	Supervisory records relating to EEOC case	Allegation founded – corrective action taken
February 2014	**Dept. of Justice,** Federal Bureau of Investigation	Case files in Tokyo destroyed by tsunami	Allegation founded – corrective action taken
April 2014	**Dept. of Defense,** Defense Logistics Agency	Foreign military sales records	Allegation founded – corrective action taken

Case Opened	Agency	Records	Resolution
April 2014	**Dept. of Labor,** Occupational Safety and Health Administration	Special media in Syracuse, New York, office	Allegation not founded
April 2014	**Dept. of Treasury,** Internal Revenue Service	Form 656 Offers in Compromise	Allegation not founded
May 2014	**Dept. of Agriculture,** Forest Service	Land and billing records in Baldwin, Michigan	Allegation founded – corrective action taken
May 2014	**Dept. of Transportation**	Intelligence and security records	Allegation founded – corrective action taken
May 2014	**Dept. of Treasury,** Comptroller of the Currency	Travel records	Allegation founded – corrective action taken
July 2014	**National Archives and Records Administration,** National Historical Publications and Records Commission	Grant files	Allegation founded – corrective action taken
August 2014	**Environmental Protection Agency**	Region 1 employee's email	Allegation founded – corrective action taken

** EPA case for email of Region 8 Administrator was not listed in previous years' PARs because it was in litigation.

*** Personal email account was used for official business.