

National Archives and Records Administration

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

Fiscal Year 2018 Budget Request

CONTENTS

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

NARA Mission, Vision, and Goals

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

VISION:

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

MISSION:

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

STRATEGIC GOALS:

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

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

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

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

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

Performance by Strategic Goal

Make Access Happen

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Connect with Customers

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Maximize NARA’s Value to the Nation

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Build our Future through our People

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Performance Highlights

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

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

*Documents retrieved from federalregister.gov website.

Federal Records Management Programs

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

Managing Government Records Directive / Policy and Guidance

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

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

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

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

Records Scheduling and Appraisal

- *Capstone Approach.* In FY 2016, NARA continued reviewing disposition requests for email managed under a Capstone approach. NARA's *General Records Schedule (GRS) 6.1, Email Managed under a Capstone Approach*, provides disposition authority for agencies implementing a Capstone approach to email management. This GRS allows agencies to manage email records at the account.
- *Other General Records Schedules.* NARA issued GRS Transmittal 26, which included one new GRS, and updates to four existing GRS. The transmittal also included general FAQs, schedule specific FAQs, and an implementation guide. NARA's General Records Schedules Team continues to make progress on its comprehensive plan to overhaul the GRS by December 2017 as required in the Managing Government Records Directive.
- *Records Scheduling Backlog Project.* NARA continued to put a priority on reducing record schedules that have been submitted more than two years prior ("backlog schedules"). The number of "backlog schedules" has been reduced over the past few years, with the current backlog numbers down to less than 36 at the start of the fiscal year. NARA will be managing the timeliness of approving records schedules as part of the regular work process, while continuing to focus on older schedules.

Records Management Oversight

Records Management Oversight and Reporting

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

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

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

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

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

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

Records Management Training

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

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

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

Alleged Unauthorized Disposition of Federal Records

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

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

Table 1: Open cases pending agency action or NARA review

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

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

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

Table 2: Cases closed in FY 2016

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

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

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

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

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

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

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

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

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