National Archives and Records Administration

**FY 2022 ANNUAL PERFORMANCE PLAN and
FY 2020 ANNUAL PERFORMANCE REPORT**

Fiscal Year 2022 Budget Request

CONTENTS

NARA Mission, Vision, and Goals

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

VISION:

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

MISSION:

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

STRATEGIC GOALS:

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

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

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

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

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

Performance by Strategic Goal

Make Access Happen

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

Objective: ***By FY 2022, 83 percent of NARA holdings will be processed to enable discovery and access by the public.***

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

Performance Measure	Year	2017	2018	2019	2020	2021	2022
Percent of archival holdings processed	Target	78%	79%	80%	81%	82%	83%
	Actual	85%	87%	89%	89%		
Total number of archival holdings processed	Target	—	—	—	—		
	Actual	4.3M	4.5M	4.8M	4.7M		

Performance summary: Through FY 2020, NARA processed a cumulative total of 4.7 million out of 5.2 million cubic feet of records, exceeding the annual target of 81 percent of total holdings processed despite the impact of the COVID-19 pandemic. In FY 2020, NARA issued new processing procedures for special media records consolidated with existing procedures for textual records. Enhanced quality control procedures were also implemented which improved consistency in identifying and correcting processing errors and provided managers with better feedback on overall processing performance. Processing error rates were well within the acceptable range of five percent.

NARA plans to reduce the volume of unprocessed holdings by 0.5 percent in FY 2021 and one percent in FY 2022.

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

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

Performance Measure	Year	2017	2018	2019	2020	2021	2022
Number of pages digitized and made available online through the Catalog	Target	40M	65M	90M	115M	140M	260M
	Actual	36.5M	53.1M	92.6M	120.9M		

Performance Summary: NARA provides public access to more than 120 million pages of digitized records through the online National Archives Catalog, exceeding the performance goal for two consecutive years for this metric. NARA posted 28.3 million pages of archival records in FY 2020, with more than 20.4 million pages from third-party digitization partners. In addition, NARA initiated implementation of Catalog scalability work.

To address the growing volume of records in the Catalog and improve workflows, NARA will expand decentralized Catalog uploads. Offices within NARA will perform direct uploads of information to the Catalog. In FY 2021, NARA will upgrade the existing Catalog infrastructure to achieve scalability performance for up to 275M objects so that both the FY 2021 and FY 2022 goals can be met.

In FY 2022, work will initiate on the full scalability development efforts to achieve 500M objects in the Catalog and beyond. Additionally, NARA will make user experience enhancements to support the growing volume of data.

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

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

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

Performance summary: In FY 2020, NARA deployed the "Presidential Library Explorer," a new finding aid which allows users to discover digital content for all Presidential Library records available in the National Archives Catalog. The new Presidential Library Explorer, in combination with the Record Group Explorer deployed in FY 2019, provides members of the public with access to explore and discover 91 percent of NARA's series-level descriptions.

Plans for FY 2021 include the deployment of a finding aid for Bureau of Indian Affairs photographs, completion of a prototype for user-generated finding aids, development of a next-generation version of a traditional finding aid, and development of a finding aid for donated collections.

In FY 2022, using lessons learned from the user-generated finding aids prototype, NARA plans to begin development work on production of user-generated finding aids in the National Archives Catalog.

Connect with Customers

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

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

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

Performance Measure	*Year*	*2017*	*2018*	*2019*	*2020*	*2021*	*2022*
Percent of customer requests ready within the promised time	*Target*	93%	93%	93%	93%	93%	93%
	Actual	91%	96%	97%	90%		

Performance summary: NARA is not able to determine the value for this metric at this time. In March 2020, the COVID-19 pandemic disrupted nationwide operations. NARA closed all facilities to support stay-at-home orders and has since only gradually reopened our facilities and restored limited operations, commensurate with local public health conditions. During the initial closure period, NARA accumulated a large backlog of unanswered customer requests. When NARA facilities opened for limited operations, we began to organize large volumes of requests received during the closure period and schedule those inquiries for response. NARA continues to receive delayed requests and gain control over our backlog unanswered requests.

Notably, NARA staff have responded to more than 7,000 emergency reference requests during the closure and delayed reopening period, involving homeless veterans seeking shelter, medical emergencies, and burial honors for deceased veterans. It is anticipated that on-time performance will continue to decline during the remainder of the fiscal year as staff complete old requests and backlogs continue to build. Eliminating the backlog of reference requests is among NARA's Federal; Records Center program's highest priorities, with a goal of returning to, or exceeding, FY 2019 performance levels. NARA will consistently monitor progress, working to ensure that customer expectations are met. Planned improvements for FY 2021-2022 will include efforts to expand remote processing opportunities and increase capacity for digitization in the stacks in order to enhance operations in a socially-distanced, post-COVID-19 environment.

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

Description of measure: NARA engages with stakeholders through museum exhibits, educational and public programs, online tools and services, and by soliciting public participation in agency activities, such as digitizing and describing archival records. NARA measures public use of agency resources and participation levels to understand the breadth of agency engagement with customers and the public. NARA currently measures customer satisfaction with outreach activities as the percentage of public programs and events that met attendee expectations, based on surveys of attendees.

Performance Measure	*Year*	*2017*	*2018*	*2019*	*2020*	*2021*	*2022*
Percent satisfaction from participants in public engagement activities	*Target*	90%	90%	90%	90%	90%	90%
	Actual	—	94%	94%	98%		

Performance summary: NARA engages with stakeholders through public outreach, 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.

In FY 2020, NARA exceeded its established satisfaction goals of 90 percent for museum visitors and participants in education and public program activities during the first two quarters of FY 2020. Unfortunately, with NARA-wide building closures due to COVID-19, most NARA offerings related to exhibits, public programs, and education, were canceled or postponed. Our ability to conduct programs and collect subsequent feedback using OMB-approved survey instruments was severely impacted. The survey results for FY 2020 are primarily from the first two quarters of FY2020.

In the midst of COVID-19, NARA is considering new and creative ways to both deliver programs to the public and collect their feedback. NARA's goal for FY 2021 and FY 2022, is to continue to deliver programs driven by common civic literacy and engagement goals, even with social distancing in effect. NARA will monitor satisfaction levels in agency public and education programs to ensure that efforts to engage the public are effective. NARA will review survey data collection methods and procedures to determine how these can be updated in a pandemic environment.

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

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

Performance Measure	Year	2017	2018	2019	2020	2021	2022
Cumulative number of records enhanced by citizen contributors	*Target*	75K	100K	260K	500K	---	---
	Actual	136K	259K	483K	1.2M	N/A*	N/A*
Pages enhanced by citizen archivists that document the experiences of traditionally underrepresented communities	*Target*	---	---	---	---	15,000	18,000
	Actual	---	---	---	---		

* Goal was achieved in FY 2020.

Performance summary: NARA doubled the expected performance for this goal and achieved the FY 2025 goal in FY 2020. NARA continued to leverage the use of citizen archivist missions to achieve this goal. In addition, NARA closed locations in March 2020 in response to the COVID-19 pandemic resulting in most staff being on full time telework. Catalog community managers provided training for staff and worked with managers across the agency to develop missions for staff to contribute to this goal as well. In total, NARA issued 64 citizen archivist and staff missions as of August 2020, resulting in achievement of the goal to enhance one million records.

Since NARA achieved the goal of enhancing one million records, in FY 2021 and FY 2022, the agency will focus on enhancing records that document the experiences of traditionally underrepresented communities, such as African Americans, women, Native Americans, LGBTQ persons, etc. Staff will do this by identifying records in the Catalog that document the experiences of these communities and create citizen archivist missions for these records. In addition, NARA will continue to develop the Catalog API v.2 and enhancements that were delayed in FY 2020.

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

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

Milestone	Year
Issue regulations with digitization standards for permanent records created on paper, specifying technical standards and quality control standards	FY 2021

Milestone	Year
Issue implementing guidance for digitizing records, such as an FAQ on how to apply digitization standards	FY 2021
Issue regulations with digitization standards for permanent records created on a variety of analog formats, including still pictures, motion pictures, maps, and x-rays	FY 2022

Performance summary: NARA continued making significant progress towards this goal and the requirements in OMB Memorandum M-19-21, Transition to Electronic Records. This memorandum requires agencies to manage all permanent records electronically by December 31, 2022 and to either manage temporary records in electronic format or store them in commercial records facilities. M-19-21 also requires NARA to issue updates to records management regulations and guidance to support the Memorandum by September 30, 2020.

In FY 2020, NARA continued to develop regulations with digitization standards for permanent records. The regulations cover all paper materials, including documents, printed photos, maps, and charts. NARA completed a draft of the regulation for permanent records that included technical and administrative standards for digitizing these types of permanent records, as well as quality management standards. Draft regulations were issued for agency review in the third quarter of FY 2020.

In FY 2021, NARA plans to issue regulations with digitization standards for permanent records created on paper, specifying technical standards and quality control standards. NARA also plans to issue implementing guidance for digitizing records, such as success criteria for digitizing permanent records. These products will help agencies and vendors better understand the requirements. In FY 2022, NARA plans to issue additional regulations with digitization standards for permanent records created on a variety of analog formats, including still pictures, motion pictures, maps, and x-rays.

In FY 2020, NARA's Federal Electronic Records Management Initiative (FERMI) received OMB approval of the Federal Business Lifecycle and Business Capabilities standard. This standard enables other Federal shared services to incorporate electronic records management guidance as they are developed. NARA also sought OMB approval for universal use cases (Capture, Maintenance and Use, Disposal, and Transfer) for use by agencies and vendors to demonstrate how they perform the same workflow when managing electronic records. NARA and GSA held a collaboration day with over 1300 registrants to talk about FERMI and GSA offerings.

Maximize NARA's Value to the Nation

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

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

Description of measure: NARA conducts on-site inspections of other agencies' records management practices to help those agencies strengthen their recordkeeping programs and ensure that records are being managed appropriately. NARA conducts inspections according to established procedures, publishes findings and recommendations in written reports, and requires agencies to respond with corrective actions that are tracked through completion. NARA measures performance as the count of agencies inspected, assessed, or audited in a fiscal year, as a percentage of the total number of agencies required to complete the annual Records Management Self-Assessment (RMSA) survey. In FY 2019, 259 agencies participated in the RMSA.

Performance Measure	*Year*	*2017*	*2018*	*2019*	*2020*	*2021*	*2022*
Percent of Federal agencies inspected	*Target*	—	10%	10%	10%	10%	10%
	Actual	3%	13%	12%	10%		

Performance summary: NARA exceeded the target to inspect 10 percent of agencies as we conducted a mix of inspections and assessments covering 56 agencies. We have started multiple engagements that will carryover into FY 2021.

Two assessment reports covering 15 agencies were drafted during this period. NARA also created a multi-agency approach to inspections based on specific topics. For FY 2020 these topics included disaster response and recovery records and managing permanent records. One inspection included the disaster response and recovery records of six agencies (i.e., Federal Emergency Management Agency, U.S. Army Corps of Engineers, U.S. Forest Service and emergency management offices within the Small Business Administration, Department of the Interior and Department of Health and Human Services). The inspection covering managing permanent records included five agencies (i.e., Defense Intelligence Agency, Federal Communications Commission, U.S. Global Media, U.S. Agency for International Development, and the General Services Administration). NARA's complete inspection reports for these and previous inspections are available at: https://www.archives.gov/records-mgmt/resources/rm-inspections

NARA also published the [Summary Report of Inspections Records Management Inspections Research and Development Records FY2018-2019](#), which summarized individual inspections focusing specifically on research and development records.

Additionally, NARA published a semi-annual report of oversight activities that shares recurring themes, key observations, and recommendations for action. This report can be found at https://www.archives.gov/files/records-mgmt/resources/first-semi-annual-rm-oversight-report-final-7-30-2020.pdf.

Impacts from COVID-19 did delay the completion of existing projects and the start of new projects. While COVID-19 has impacted how our work is conducted and how agencies are able to participate, we anticipate being able to conduct inspections, assessments and audits virtually until travel and on-site agencies visits are possible.

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

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

Performance summary: In FY 2020, NARA continued enhancements of Electronic Records Archives (ERA) 2.0, the agency's repository for archival electronic records. The agency continued to make incremental progress in increasing the archival processing tools available to assist users in processing and preserving electronic archival records. NARA also deployed capabilities to strengthen the management of user accounts, which will help prepare NARA to management users of the system from other agencies in the future. NARA made new progress in long-term efforts to develop workflow management tools in ERA 2.0 and enhance the agency's ability to receive transfers of electronic records.

In a related effort, NARA completed the first official version of the agency's digital preservation framework, which documents and shares NARA's risk assessments and recommended preservation actions for the agency's electronic records holdings based on current decisions and capabilities. The analysis and plans of the framework can support all aspects of electronic records: the documented format sustainability metrics provide critical context for agency records managers, support records selection and appraisal, inform the selection of tools for ERA 2.0 through their support for essential record characteristics, and guide the selection of formats available for public access.

In FY 2021 and FY 2022, NARA will revise the General Records Schedule to allow agencies to dispose of temporary and permanent original records that meet digitization standards for records. In addition, we will provide clear guidance, via regulations and/or NARA bulletins, on the processes agencies must follow when disposing of original source records that have been digitized. NARA will develop enhanced guidance for agencies on how to schedule records, including how to write big bucket schedules, the latter often being critical for an agency's movement to electronic recordkeeping.

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

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

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

Performance summary: In FY 2020, NARA identified four new platforms leveraging NARA records and data. Large increases in the amount of enhancement data being ingested into the Catalog caused performance issues. Addressing these Catalog performance problems as well as other issues caused delays for planned development work such as the Application Programming Interface (API) v.2 to improve public access to large datasets in the Catalog and user interface enhancements.

In FY 2021 and FY 2022, NARA will continue to promote and encourage existing and potential new external platforms to leverage reuse of NARA's data. In addition, NARA will focus on identifying and reaching out to potential partners with platforms that serve traditionally underrepresented communities such as African Americans, women, Native Americans, LGBTQ persons, etc., to increase access to records documenting their experiences. Given the unknown depth of this pool of potential partners, and their capabilities to reuse NARA data, the performance measure is set to a minimal increase of one platform. Information gathered in FY 2021 to identify potential partners will inform levels of performance for FY 2022 and beyond with greater clarity.

Build our Future through our People

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

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

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

Performance Measure	*Year*	*2017*	*2018*	*2019*	*2020*	*2021*	*2022*
Percent of staff who participated in a leadership development activity	*Target*	baseline	35%	37.5%	40%	40%	40%
	Actual	32.5%	39.3%	46%	52.5%		

Performance summary: In FY 2020, three cohorts participated in NARA's Supervisor Development Program (SDP). NARA's SDP is a six-month program that combines instruction and experiential learning for new supervisors. To date, thirty percent of supervisors have completed the program, with a sixth cohort scheduled for completion in FY 2021.

In FY 2020, NARA launched and completed a Supervisor Development Program Cohort 5 with 42 graduates. Cohort 6 was also launched with 28 participants and will complete the program in the first quarter of FY2021. In FY 2020, the program was modified and reduced to a 6 month concept based on feedback and evaluation. Also, in FY 2020, the Cross Training Program launched with 15 projects and 19 participants. In addition, and as a unique side-effect of the facility closures related to the pandemic, online training completion rates across the agency increased tenfold. Many of these opportunities were focused on leadership development.

Leadership development activity at NARA continues to grow exponentially. As reflected in the data in this document, we met our strategic goal early, and have continued to exceed that goal. Built on this success, we are beginning to turn our attention to how we can gain even deeper and more meaningful insight into not just the quantity of leadership development activities in the agency, but also the quality and impact of those activities. To that end, we have started a pilot program to gauge behavioral changes in coaching competencies, as a result of coaching training embedded within NARA's Supervisor Development Program. We are running this pilot program in tandem with maintaining (and expanding) NARA's current leadership development

participation goals.

Based on our current trajectory, which includes overcoming hurdles associated with the pandemic, we do not anticipate any risks to continuing to meet the 40 percent goal currently outlined, and have started looking ahead to the "next level" measures for our future strategic plan.

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

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

Performance Measure	*Year*	*2017*	*2018*	*2019*	*2020*	*2021*	*2022*
Percent of NARA positions filled within 80 days	*Target*	55%	65%	75%	85%	85%	85%
	Actual	40%	48%	32%	49%		

Performance summary: In FY 2020, NARA continued the human resources shared services partnership with the Department of Treasury, Bureau of the Fiscal Service, Administrative Resource Center (ARC). In the area of staffing, practices were instituted to facilitate the creation of preauthorized job analysis documents allowing for a more expedited job posting. However, the benefit from this investment was disrupted by the response to the COVID-19 pandemic, which caused staffing process delays particularly in the interviewing process and new employee on-boarding and reporting.

In FY 2021 and FY 2022, NARA will continue to partner with ARC to ensure the staffing timelines are met, subject to local public health conditions.

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

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

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

Performance summary: NARA did not realize significant progress against this goal in FY 2020. The continued migration to a human resources shared services provider delayed development and implementation of career paths for NARA staff. NARA was not able to revise position descriptions or analyze positions and organizational structures while planning and executing the shared services migration.

In FY 2021 and FY 2022, NARA will re-double its efforts to develop and implement meaningful career paths for 95 percent of positions.

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

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

Performance summary: In FY 2020, progress on NARA's career development program was interrupted due to the COVID-19 pandemic. Many facilities closed, impacting plans to gather employee and supervisor input. Instead, NARA took the opportunity to provide several development offerings to employees now on telework. The participants in the offering comprised a large target demographic.

Participants in live events and self-paced learning opportunities increased exponentially during the pandemic lockdown. Between March and July, NARA employees completed more than 63,000 self-paced courses and attended nearly 7,000 webinars. This comes to more than 56,000 hours of training taken during the pandemic lockdown, 85 percent of which were employees in pay grades GS-4 to GS-9. This is a strong indication that employees in our target demographic are ready to engage in programs offered at a distance.

In FY 2021 and FY 2022, NARA will focus on the creation of a robust career development program. This effort will require NARA to assess employee skill gaps in areas of technology competency and provide mapped resources to help close those gaps. NARA will examine ways to offer training opportunities and structured assignments to build digital skills. We will expand opportunities for staff to practice skills needed for the future and integrate key digital skills into work assignments, duties, and responsibilities.

The participation data NARA has collected since March 2020 indicates that employees are ready for structured resources and, for the most part, able to engage remotely. The data also indicates in-demand topics that can help the agency build development pathways. NARA will:

- **Build curriculum pathways for basic technology skills.** The technology skill offerings since March 2020 have been based on demand and requests. Formulating one or more certificate pathways that structure basic and intermediate skill development with a virtual lab component (hands-on) should help support skill progression.

- **Build curriculum pathways for the Technology Champion role.** Plan a certificate pathway for technology and non-technical skills, to include leader development.

- **Work with leadership to model implementation of developmental activities as work assignments for teleworking employees**. Participation in remote learning activities for units indicated as needing technology skills improvement will help us formulate a strategy after all employees return to normal work schedules.

Federal Records Management Programs

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

NARA Strategic Plan (2018-2022) Progress

The following FY 2020 accomplishments were in support of NARA's strategic goal to have policies and processes in place to support Federal agencies' transition to fully electronic recordkeeping by FY 2022.

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

In June 2019, the Office of Management and Budget (OMB) and NARA issued the joint memorandum Transition to Electronic Records (M-19-21). This memorandum directs Federal agencies to ensure Federal records are created, retained, and managed in electronic formats, with appropriate metadata. In September 2020, NARA issued NARA Bulletin 2020-01 Guidance on OMB/NARA Memorandum Transition to Electronic Records (M-19-21) which answered questions agencies raised about M-19-21 and provided additional guidance. With the release of this bulletin, NARA met the requirement in the memorandum to issue additional guidance.

Federal Electronic Records Modernization Initiative

NARA's Federal Electronic Records Modernization Initiative (FERMI) continued in FY 2020. In April, NARA issued the second version of the Universal Electronic Records Management Requirements. Major updates in this version included the addition of requirements on the sustainability of electronic records, additional formats acceptable for transfer to the National Archives, and a glossary. Another component of FERMI is the Universal Use Cases, which were submitted to OMB for approval and publication. NARA and the General Services Administration (GSA) jointly sponsored the August 2020 Industry Day in support of FERMI. During this event, more than 1,100 attendees from the Federal community and industry were informed about these updates and the partnerships GSA created to bring electronic records management solutions directly to Federal customers.

Outreach Activities

NARA conducted approximately 75 briefings and presentations on Federal recordkeeping during FY 2020. Audiences included Federal agency officials and records managers, professional organizations, members of the press, and archivists from other countries. With the onset of the COVID-19 pandemic, these meetings were held virtually.

The Chief Records Officer of the United States and his staff continued to meet with Senior Agency Officials for Records Management (SAORMs) to discuss their records management issues and activities. NARA met with the Department of Health and Human Services, Department of Defense, Department of Agriculture, and other agencies. NARA hosted two virtual SAORM meetings which were held December 2019 and September 2020.

NARA hosted four Agency Services Bimonthly Records and Information Discussion Group (BRIDG) meetings and six Federal Records Management Council (FRMC) meetings. In addition, NARA staff provided individual presentations to agencies.

NARA engaged with agencies about Federal records management and the Microsoft Office 365 platform. As a result of COVID-19, many Federal agencies accelerated the adoption of the Office 365 platform and its collaboration tools. The NARA-led Microsoft 365 working group experienced a surge in interest and participation throughout the year. In FY 2020, staff in the Office of the Chief Records Officer received and addressed many questions specific to the Office 365 platform. Additionally, NARA engaged in discussions with other countries about how they were implementing Office 365. Meetings were held with The National Archives (UK), National Archives of Australia, Archives New Zealand, and the National Archives of Norway.

NARA Research on Emerging Technologies

NARA published a white paper on the records management implications of emerging technologies such as: Internet of Things (IoT), Robotics Process Automation (RPA), Machine Learning (ML), and Artificial Intelligence (AI). The white paper provided a basic description of each technology, examples of their applications, and discussed the enabling factors supporting the technologies. The white paper contains our analysis of cognitive technologies' potential impact on records and data management; policies and standards; and records creation, appraisal, scheduling, and transfer.

Records Management Policy and Standards

NARA continued work on the digitization regulation to establish standards for digitizing analog originals of permanent records with a view to the disposal of the original records. NARA completed the first draft of the regulation that addressed standards for image quality, completeness of scanning jobs, and metadata for digitized permanent records. OMB issued the draft for agency review. NARA adjudicated over 250 agency comments from this review, and over 60 follow-up comments from the subsequent OMB passback.

NARA continued its participation in the International Organization for Standardization (ISO) technical committees ISO/TC 46/SC 11 (Archives/records management) and ISO/TC 171 (Document management applications).

NARA served on the committee to revise the standard ISO 30300:2020 *Information and documentation — Records management — Core concepts and vocabulary*, which was published in July. This standard contains terms and definitions relevant to the core concepts of the records management domain. NARA also served on the committee to revise the standard ISO 16175-1:2020 *Information and documentation — Processes and functional requirements for software for managing records — Part 1: Functional requirements and associated guidance for any applications that manage digital records*. The standard provides functional requirements and associated guidance for software applications that are intended to manage digital records— including digital copies of analog source records.

Records Scheduling and Appraisal

Overall, NARA closed a total of 246 records schedules including schedules submitted more than two fiscal years prior.

- **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. In FY 2020, NARA approved 19 disposition requests for email managed under a Capstone approach, bringing the total to 204.

- **Records Scheduling Backlog Project**. NARA defines its backlog of schedules as those that have been submitted more than two fiscal years prior. At the start of FY 2020 the number of backlog schedules was 67, which was an increase from last year's backlog of 58. In FY 2020, NARA closed 42 schedules.

- **General Records Schedules.** NARA issued Transmittal 30 in December 2019 and Transmittal 31 in April 2020.

- **Records Scheduling Guidance.** NARA issued FAQs About Records Scheduling & Appraisal and FAQs About Records Management During the COVID-19 Pandemic. NARA also issued NARA Bulletin 2020-02, Guidance on Scheduling the Early and Late Transfer of Permanent Records that provided guidance for submitting schedules requesting late transfer of permanent records.

Records Management Oversight and Reporting

Federal Agency Records Management Annual Report 2019. This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA. In 2020, NARA required three related but separate submissions covering activities in 2019: a Senior Agency Official for Records Management (SAORM) Report, a Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA).

- **Records Management Self-Assessment:** NARA has administered the annual RMSA since 2009. This assessment requires agency records officers to provide NARA with an evaluation of their individual agency's compliance with Federal records management statutes, regulations, and program functions. https://www.archives.gov/records-mgmt/resources/self-assessment.html

- **Senior Agency Official for Records Management Reports:** NARA requires the Senior Agency Official for Records Management (SAORM) to report annually on their progress towards the transition to electronic records keeping in line with OMB/NARA M-19-21 and also other strategic initiatives and challenges for records management. https://www.archives.gov/records-mgmt/resources/saorm-reports

- **Federal Electronic Records and Email Management Maturity Reports:** In 2016, NARA introduced the use of maturity models to measure email management. In 2019, we added electronic records management into the model. The models use specific success criteria for managing these types of records for agencies to determine their status and report that information to NARA. https://www.archives.gov/records-mgmt/resources/email-mgmt-reports

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. Inspection reports are available at: https://www.archives.gov/records-mgmt/resources/rm-inspections.

In FY 2020, NARA completed inspections of the Office of the Secretary of Defense, Defense Information Systems Agency, Department of State, and the Department of Defense Joint Staff and Combatant Commands.

We also introduced multi-agency inspections based on specific topics within a single report to increase our capacity to inspect more agencies simultaneously. In FY 2020, we completed the following multi-agency inspections:

> **Disaster Response and Recovery Records.** Federal Emergency Management Agency, US Army Corps of Engineers, US Forest Service, Department, Small Business Administration and selected offices of the Departments of Housing and Urban Development, Health and Human Services, and Interior.

> **Managing Permanent Records.** Defense Intelligence Agency, Federal Communications Commission, General Services Administration, US Agency for Global Media, and the U.S. Agency for International Development.

Monitoring and Follow-up. In response to inspections, NARA works with agencies to prepare corrective action plans with measurable action items and milestones. NARA monitors progress via agency-submitted progress reports until all actions are completed. NARA is currently monitoring 32 approved plans of corrective actions.

Summary Reports. NARA produced the following summary reports from the data gathered by inspections in order to more broadly disseminate our findings and recommendations and identify common challenges: Summary Report Records Management Inspections Research and Development Records FY 2018 - FY 2019 and the first semi-annual report, Records Management Oversight Activities October 1, 2019 through May 31, 2020.

Records Management Assessments. An assessment is an evaluation of a specific records management (RM) topic, issue, or activity affecting processes, procedures and policies. Assessments evaluate records management practices and inform NARA's guidance, policy, training, and tools. Unlike inspections that focus on an entire RM program, assessments focus on a specific RM topic. In late FY 2020, we conducted two assessments: Big Bucket Schedule Implementation and Records Management Self-Evaluations by Federal Agencies. Published reports are available at: https://www.archives.gov/records-mgmt/resources/rm-assessments.

Electronic Records Systems Audits. NARA conducts audits and analysis of Federal agencies' electronic records systems. This function enables NARA to:

- conduct systems audits and provide expert advice concerning how electronic records are captured, managed, and stored to ensure they are properly configured to capture and manage records in accordance with records management laws, regulations, policies and guidance.
- respond quickly to particular email or electronic records management challenges that develop in the Federal government.

Alleged Unauthorized Disposition of Federal Records
Under 44 U.S.C. §3106 and 36 CFR §1230 Federal agencies are required to notify NARA of any alleged unauthorized disposition of the agency's records. NARA also receives notifications from other sources such as the news media and private citizens. NARA establishes a case to track each allegation and communicates with the agency until the issue is resolved. Specific information about unauthorized disposition reporting and findings is available at: https://www.archives.gov/records-mgmt/resources/unauthorizeddispositionoffederalrecords.

NARA Records Management Training for Agencies

The Records Management Training Program (ACT) launched the Agency Records Officer Credential (AROC) in FY 2020. ACT also offered role-based training for records custodians, records liaisons, and agency records officers. The Records Management Training Program enrolled 23 agency records officers (AROs) in the inaugural class for the AROC program in January 2020. Subsequent enrollment into the AROC program included an additional 18 AROs for the remainder of FY 2020. ACT staff were designated as mentors and assigned to monitor and assist each records officer working through the AROC curriculum.

The AROC was awarded to eight AROs in FY 2020. Of those who participated in the training and received their credential, 80 percent reported they were "strongly satisfied" with their experience. The majority of those who received their credential used an AROC mentor throughout the process and reported a positive experience.

Also in FY 2020, the Records Management Training Program established Records Management Instruction Support (ReMIS) services. ReMIS is a free service offering consulting and support to AROs to meet their needs for designing, developing, and implementing records management training in their agencies. Through ReMIS, NARA provides a customized eLearning course, *RM Fundamentals*, for agencies to use to train their own staff. In FY 2020, ReMIS had 67 individual requests from 54 agencies and four non-federal organizations. NARA developed and delivered 21 versions of *RM Fundamentals* to agencies for training their own staff.