National Archives and Records Administration

NATIONAL ARCHIVES

FY 2020
CONGRESSIONAL JUSTIFICATION

March 11, 2019

National Archives and Records Administration

SUMMARY of the FY 2020 REQUEST

Fiscal Year 2020 Budget Request

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Summary of the Request

The FY 2020 budget of the National Archives and Records Administration (NARA) requests $357.9 million in discretionary appropriations. This is a decrease of -$45.3 million from the annualized rate of operations in the FY 2019 Continuing Resolution (CR). This decrease is the sum of -$16.3 million in net reductions to NARA programs and -$29 million in savings from non-recurring annual repayments of debt for the National Archives facility in College Park, MD. NARA will repay this debt in FY 2019 and amounts provided in the Operating Expenses appropriation will no longer be required beginning in FY 2020.

Within the aggregate request, $345.6 million is requested for the Operating Expenses appropriation, $4.8 million is requested for the NARA Office of Inspector General, and $7.5 million is requested for Repairs and Restoration of NARA-owned buildings. NARA is not requesting appropriations for the National Historical Publications and Records Commission (NHPRC) Grants Program.

Appropriations Request
(Dollars in Thousands)

	FY 2018 Enacted	FY 2019 Annualized CR Level	FY 2020 Request	*change from FY 2019*
Operating Expenses	$ 384,911	$ 384,911	$ 345,609	*-39,302*
Office of Inspector General	4,801	4,801	4,801	*+0*
Repairs and Restoration	7,500	7,500	7,500	*+0*
NHPRC Grants Program	6,000	6,000	0	*-6,000*
NARA Appropriations Request	$ 403,212	$ 403,212	$ 357,910	*-45,302*

NARA's request for <u>Operating Expenses</u> is a reduction of -$39.3 million from the FY 2019 annualized CR level. NARA's request is the sum of non-recurring -$29 million for repayment of debt and a net reduction of -$10.3 million from the following program increases and reductions:

(1)   Reductions totaling -$19.8 million and -83 FTE from workforce reduction and efficiency savings initiatives submitted in previous budget requests but not included in the FY 2019 annualized CR level including (-$12.3 million) and savings from non-recurring one time funding for new GPO space (-$7.5 million).

(2)   Reductions totaling -$14.5 million, including reductions due to non-recurring FY 2019 initiatives (-$8.5 million); reductions to security services at NARA-owned facilities (-$4.9 million); and program efficiency savings (-$1.1 million).

(3)   An increase of $2 million to provide for annual rent increases for existing leases ($1.3 million); and rental payments to GPO for new Congressional storage space ($0.8 million).

(4)   An increase of $22 million to provide for NARA functions and activities necessary to enhance the Federal government's ability to electronically preserve, manage, and store electronic records and provide for the design and renovation of space in the National Archives facility in College Park, MD. NARA's Electronic Records Initiative would provide for expenses necessary to end NARA's acceptance of paper records by December 31, 2022 and allow NARA to prepare its physical and electronic infrastructure to support the electronic preservation, management, and storage of government records.

NARA's request for the Office of Inspector General appropriation is the same amount as the FY 2019 annualized CR level.

NARA's request for the Repairs and Restoration appropriation is the same amount as the FY 2019 annualized CR level.

NARA does not request new funding for the NHPRC Grants Program appropriation, which is a reduction of -$6 million from amounts provided in the FY 2019 annualized CR level.

Summary of Discretionary Budget Authority
(Dollars in Thousands)

	FY 2018 Enacted	FY 2019 Annualized CR Level	FY 2020 Request	*change from FY 2019*
Operating Expenses:				
Annual appropriation	$ 377,411	$ 377,411	$ 323,609	*-53,802*
No-year appropriation	7,500	7,500	22,000	*+14,500*
Redemption of debt	-25,049	-27,224	0	*+27,224*
Net budget authority.......................	$ 359,862	$ 357,687	$ 345,609	*-12,078*
Office of Inspector General	4,801	4,801	4,801	*+0*
Repairs and Restoration	7,500	7,500	7,500	*+0*
NHPRC Grants Program	6,000	6,000	0	*-6,000*
NARA Discretionary Budget Authority	*$ 378,163*	*$ 375,988*	*$ 357,910*	*-18,078*

NARA's budget requests $358 million in net budget authority for FY 2020, which is a reduction of -$18 million from the FY 2019 annualized CR level. NARA's net budget authority excludes funding in the Operating Expenses appropriation for repayments of principal on debt held by the public to finance the construction of the National Archives building at College Park, MD. For FY 2020, this amount totals $0 million. NARA will complete repayment on this debt in FY 2019.

NARA Mission, Vision, and Goals

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

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MISSION

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

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

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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.

</div>

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

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VALUES

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

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

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

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

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STRATEGIC GOALS

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

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

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

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

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

TRANSFORMATIONAL OUTCOMES

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

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

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

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

A Great Place to Work.—We will transform NARA into a great place to work through trust and empowerment of all of our people, the agency's most vital resource.
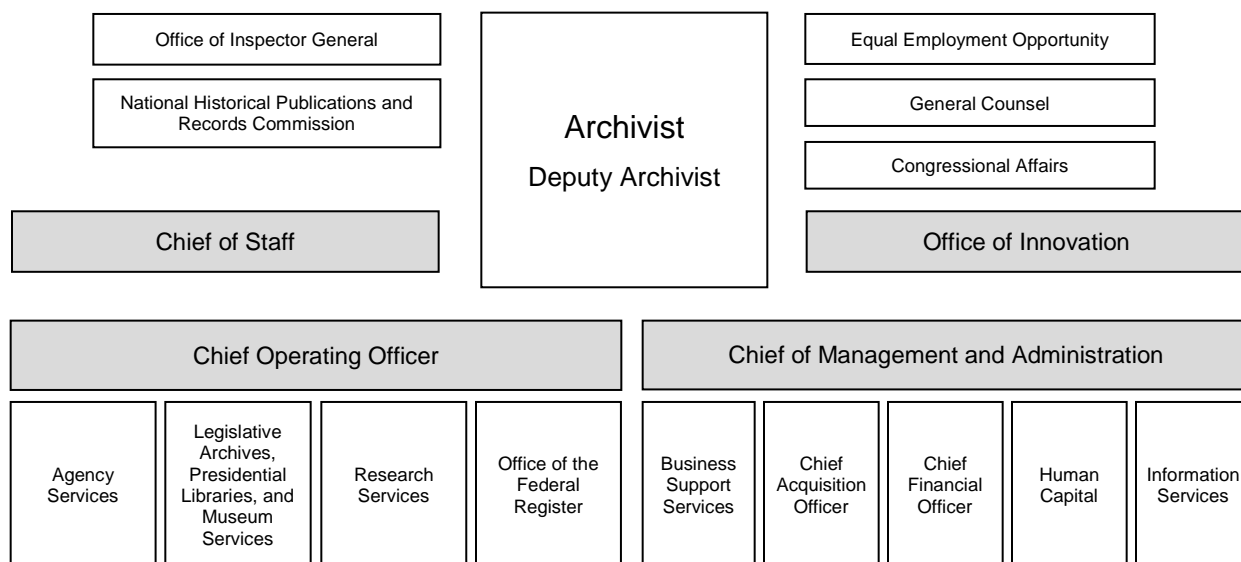
A Customer-Focused Organization.—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.

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

NARA Organization

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

National Archives and Records Administration

Office of Inspector General		Archivist		Equal Employment Opportunity	
National Historical Publications and Records Commission		Deputy Archivist		General Counsel	
				Congressional Affairs	
Chief of Staff				Office of Innovation	

Chief Operating Officer				Chief of Management and Administration				
Agency Services	Legislative Archives, Presidential Libraries, and Museum Services	Research Services	Office of the Federal Register	Business Support Services	Chief Acquisition Officer	Chief Financial Officer	Human Capital	Information Services

- *Agency Services* leads NARA efforts to meet the records management needs of Federal agencies and represents the public's interest in the transparency of these records.

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

- *Research Services* provides world-class service to researchers and citizens wanting to access the records of the National Archives and preserves archival holdings for the benefit of future generations.

- *The Office of the Federal Register* fulfills the Archivist's responsibilities to publish the daily Federal Register, the Code of Federal Regulations, and the Statutes-at-Large, and other statutory requirements.

Summary of Requested Appropriations Action
(Dollars in Thousands)

	FY 2018 Enacted	FY 2019 Annualized CR Level	FY 2020 Request
Operating Expenses:			
Legislative, Presidential, and Museum Services	$ 102,395	$ 101,256	$ 89,481
Citizen Services	106,891	106,344	102,775
Agency and Related Services	83,112	84,781	72,665
Facility Operations	<u>85,013</u>	<u>85,030</u>	<u>58,688</u>
Subtotal, Annual appropriation...........................	$ 377,411	$ 377,411	$ 323,609
New GPO space	7,500	7,500	0
Electronic Records Initiative	<u>0</u>	<u>0</u>	<u>22,000</u>
Subtotal, No-year appropriation........................	$ 7,500	$ 7,500	$ 22,000
Total Appropriation	$ 384,911	$ 384,911	$ 345,609
Redemption of debt	*-25,049*	*-27,224*	*0*
Net budget authority	*$ 359,862*	*$ 357,687*	*$ 345,609*
Office of Inspector General	4,801	4,801	4,801
Repairs and Restoration	7,500	7,500	7,500
NHPRC Grants Program	6,000	6,000	0
Total Appropriations Request	**$ 403,212**	**$ 403,212**	**$ 357,910**
Total, Discretionary net budget authority	*$ 378,163*	*$ 375,988*	*$ 357,910*
Total Full-Time Equivalents (FTE)	2,787.0	2,811.0	2,723.0

Total Discretionary Obligations by Object Classification
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
11.1 Full-time, permanent..	$ 137,281	$ 139,744	$ 134,356
11.3 Other than full-time permanent............................	225	166	159
11.5 Other personnel compensation............................	2,633	2,690	2,674
11.8 Special personal services payments....................	37	65	61
12.1 Civilian personnel benefits...................................	45,929	46,079	44,176
13.0 Benefits for former personnel..............................	15	167	160
21.0 Travel and transportation of persons...................	778	933	933
22.0 Transportation of things......................................	465	436	681
23.1 Rental payments to GSA......................................	8,406	8,697	9,947
23.2 Rental payments to others...................................	1,506	1,663	2,413
23.3 Communications, utilities, and misc. charges.....	12,902	11,898	11,744
24.0 Printing and reproduction....................................	216	585	585
25.1 Advisory and assistance services........................	13,853	8,936	7,079
25.2 Other services from non-Federal sources...........	26,659	24,527	41,029
25.3 Other goods and services from Federal sources	19,899	21,044	16,210
25.4 Operation and maintenance of facilities..............	29,435	30,800	28,443
25.5 Research and development contracts.................	106	91	91
25.7 Operation and maintenance of equipment..........	41,274	39,423	36,623
26.0 Supplies and materials..	1,952	2,426	2,676
31.0 Equipment...	11,035	13,470	10,970
32.0 Land and structures...	8,092	15,000	7,947
41.0 Grants, subsidies, and contributions....................	6,873	7,818	0
42.0 Insurance claims and indemnities........................	38	0	0
43.0 Interest and dividends...	3,923	1,748	0
94.0 Financial transfers...	25,049	27,224	0
99.0 Obligations, appropriated................................	**$ 398,580**	**$ 405,630**	**$ 358,957**
Subtotal, PC&B..	*186,120*	*188,911*	*181,586*
Subtotal, non-labor.....................................	*212,460*	*216,719*	*177,371*

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

National Archives and Records Administration

OPERATING EXPENSES

Fiscal Year 2020 Budget Request

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Appropriation Language

For necessary expenses in connection with the administration of the National Archives and Records Administration and archived Federal records and related activities, as provided by law, and for expenses necessary for the review and declassification of documents, the activities of the Public Interest Declassification Board, the operations and maintenance of the electronic records archives, the hire of passenger motor vehicles, and for uniforms or allowances therefore, as authorized by law (5 U.S.C. 5901), including maintenance, repairs, and cleaning, **$345,609,000**, **of which $22,000,000 shall remain available until expended for the repair and alteration of the National Archives facility in College Park, Maryland and related improvements necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records**.

Analysis of Language Provisions and Changes

NARA proposes new language for FY 2020, underlined above, for the Electronic Records Initiative. This initiative will support NARA's strategic goal of ending its acceptance of paper records by December 31, 2022, and allow NARA to prepare its physical and electronic infrastructure to support the electronic preservation, management, and storage of government records.

Program Description

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

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

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

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

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

- *Electronic Records Initiative.*— This activity provides for expenses necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

Explanation of Changes
(Dollars in Thousands)

	FTE	Budget Authority
FY 2019 Annualized Continuing Resolution level	1,491.0	$ 384,911
FY 2019 Base Adjustments:		
Non-recur repayment of principal on debt	0.0	-28,972
Workforce reductions and efficiency savings in previous submission	-83.0	-12,306
Non-recur one-time funding for new GPO space	0.0	-7,500
Total, Base Adjustments...	-83.0	-$ 48,778
Adjusted FY 2019 Base Budget..	1,408.0	$ 336,133
FY 2020 Appropriation request...	1,408.0	345,609
Net Change..	0.0	$ 9,476
Maintaining Current Levels:		
Rent increases	___	$ 1,250
Subtotal, Program Increases	0.0	$ 1,250
Program Decreases:		
Non-recur FY 2019 initiatives for Presidential records preservation and IT Security		-$ 8,500
Reduce security services at NARA-owned facilities		-4,913
Program efficiency savings	___	-1,111
Subtotal, Program Decreases	0.0	-$ 14,524
Program Increases:		
Rent for new GPO space		$ 750
Electronic Records Initiative	___	22,000
Subtotal, Program Increases	0.0	$ 22,750
Net Change	**0.0**	**$ 9,476**

The FY 2020 budget requests an appropriation of **$345,609 thousand and 1,408 FTE** for NARA Operating Expenses.

NARA has revised the FY 2019 base budget to remove the final payment of $28,972 thousand to finance the construction of the National Archives building in College Park, MD, reduce $12,306 thousand and 83 FTE for workforce reductions and efficiency savings included in previous requests, and non-recur $7,500 thousand of one-time funding for new space to store Congressional records. NARA's revised FY 2019 base budget is $336,133 thousand and 1,408 FTE.

NARA's FY 2020 request reflects a net increase of $9,476 thousand from the adjusted FY 2019 base budget. NARA's request is the result of the following changes:

(1)   An increase of $1,250 thousand for rent increases in existing leases.

(2)   A reduction of -$14,524 thousand from the following program decreases:

– -$8,500 thousand in reductions from non-recurring FY 2019 initiatives. Funds requested in FY 2019 for the preservation of Presidential electronic records and Cybersecurity efforts would be non-recurred in FY 2020.

– -$4,913 thousand in reductions to security services at NARA-owned facilities nationwide. NARA has reviewed the risk posture at each of the 17 NARA-owned Federal buildings and has identified adjustments to the guard force that better reflect the risk faced at each facility. NARA will align security measures to reflect current security needs, while maintaining the safety of Federal employees, NARA records, and the public.

– -$1,111 thousand in program efficiency savings. Savings come from a decommissioned legacy information system, reduced mail services, and a number of smaller reductions to activities not directly focused on program delivery.

(3)   A program increase of $750 thousand provides for rental payments to GPO for new storage space for Congressional records. NARA expects to pay approximately $750 thousand in annual rent to GPO for records storage once renovations are complete and NARA occupies the space in FY 2019.

(4)   A program increase of $22,000 thousand to provide for the design and renovation of space in the National Archives facility in College Park, MD and related improvements necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

Electronic Records Initiative

NARA's budget requests $22,000 thousand to accelerate the processing and release of large volumes of high-value digital government information through mass digitization of paper records and at-risk special media records (audio, video, and motion picture records) in support of NARA's Electronic Records Initiative. This initiative will support NARA efforts to end acceptance of paper records by December 31, 2022 and will assist Federal agencies in their work to move their business processes and recordkeeping to a fully electronic environment.

NARA's Electronic Records Initiative would provide the following benefits:

(1) *Improve the customer experience with federal services by providing online public access to an additional 8-12 million records annually.* As records are scanned, the images would be uploaded to cloud based storage where they would be processed and described. Digital records would then be transferred to the online National Archives Catalog for public access and the Electronic Records Archive for permanent storage. This investment would allow NARA to significantly increase the speed and volume of government records NARA provides to the public online for research, discovery, and commercial re-use.

(2) *Develop a workforce for the 21ˢᵗ century.* NARA staff are currently limited in the records that they can review and process for public access based on their geographic location. NARA's new initiative would allow us to upload scanned images directly to the cloud where they can be processed and described by NARA's workforce around the country, regardless of where the original records are located. This removes geographic barriers our current workforce faces, modernizes NARA work processes, enables NARA to more fully engage with our employees, and allows us to focus our limited resources on our most critical and highest priority work.

(3) *Digitize audio, video and modern picture film records to make them available to the public.* Audio, video, and motion picture records are currently preserved by creating new copies of the records in their original formats. This preserves them for a limited time until they must be copied again, and requires specialized and often expensive playback equipment to view, which limits access to the public. This initiative would create a special media lab dedicated to the digitization of these records. NARA would provide online access to digitized audio, video, and film records, vastly expanding the audience for some of the richest records of American government. Many of these records would be made available to the public for the first time since they were originally aired.

(4) *Protect and preserve our most at risk records.* NARA stores permanently-valuable, archival records in a wide variety of formats. Special media records, including audio, video, and motion picture films, are the most vulnerable to deterioration, and must be stored in specialized vaults where the temperature is kept at or below freezing. Cold storage is the most expensive to operate and acquire, and NARA expects to exceed existing space within the next four years. This initiative would provide for an additional 2,000 cubic feet of cold storage at our College Park, MD facility to preserve these vulnerable records until they can be digitized.

(5) *Renovate existing space at our College Park, MD facility to provide additional storage for archival records.* NARA currently holds over 4.5 million cubic feet of archival Federal records. NARA anticipates that an additional 1 million to 2.5 million cubic feet of

permanently valuable, historical records will be transferred to NARA over the next 14 years. This requires a significant expansion of records storage space, but our National Archives building in College Park, MD is near capacity. This initiative includes renovating space at our existing facility in College Park, MD to provide an additional 75,000 cubic feet of archival storage. Acquiring additional space within the existing footprint of this facility avoids the significant costs associated with the acquisition of a new facility.

NARA's Electronic Records Initiative would improve NARA's efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information. Funds requested in FY 2020 would provide for the design and renovation of space and related improvements to the National Archives facility in College Park, MD. This project would convert existing space into dedicated mass digitization space, modernized special media labs, new cold storage space, and a new storage area for archival records.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
Unobligated balance, no-year appropriation................	$ 1,855	$ 8,758	$ 8,758
Transfer in from expired accounts ………………..	$ 244	$ 0	$ 0
Transfer in from trust fund accounts[1]……………..	$ 606	$ 600	$ 600
Discretionary authority:			
Annual appropriation..	$ 377,411	$ 377,411	$ 323,609
No-year appropriation...	7,500	7,500	22,000
Total discretionary authority.........................	**$ 384,911**	**$ 384,911**	**$ 345,609**
Reimbursable authority:			
New spending authority collected[2]………………	$ 1,397	$ 2,299	$ 1,495
Change in uncollected payments...........................	0	0	0
Subtotal, reimbursable authority.......................	$ 1,397	$ 2,299	$ 1,495
Unobligated balance, expiring....................................	-$ 495	$ 0	$ 0
Unobligated balance, available in future years............	-$ 8,758	-$ 8,758	-$ 8,758
Unobligated balance, reimbursable.............................	$ 0	$ 0	$ 0
Total obligations..	$ 379,760	$ 387,810	$ 347,704
Obligations, annual appropriation........................	**$ 377,766**	**$ 378,011**	**$ 324,209**
Obligations, no-year appropriation.............................	597	7,500	22,000
Obligations, reimbursable..	1,397	2,299	1,495
Net outlays	*$ 353,261*	*$ 338,007*	*$ 336,667*

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

2/ NARA anticipates providing reimbursable services to the National Archives Trust Fund (as authorized by 44 U.S.C. § 2302) in the amount of $1,495 thousand and 28 FTE in FY 2020. Reimbursable services provide for the costs of reproducing archival documents for sale to the public and other, related projects.

Obligations by Object Classification
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
11.1 Full-time, permanent...	$ 134,746	$ 137,229	$ 131,793
11.3 Other than full-time permanent...........................	225	166	159
11.5 Other personnel compensation...........................	2,452	2,496	2,476
11.8 Special personal services payments..................	37	65	61
12.1 Civilian personnel benefits.................................	44,945	45,063	43,143
13.0 Benefits for former personnel.............................	15	167	160
21.0 Travel and transportation of persons..................	754	900	900
22.0 Transportation of things.....................................	465	436	681
23.1 Rental payments to GSA.....................................	8,406	8,697	9,947
23.2 Rental payments to others..................................	1,506	1,663	2,413
23.3 Communications, utilities, and misc. charges....	12,901	11,898	11,744
24.0 Printing and reproduction..................................	216	585	585
25.1 Advisory and assistance services......................	12,042	8,002	6,222
25.2 Other services from non-Federal sources.........	26,597	24,513	19,013
25.3 Other goods & services from Federal sources..	19,872	21,029	16,189
25.4 Operation and maintenance of facilities..............	29,308	30,800	28,443
25.5 Research and development contracts................	106	91	91
25.7 Operation and maintenance of equipment..........	41,262	39,413	36,613
26.0 Supplies and materials.......................................	1,875	2,376	2,626
31.0 Equipment...	11,007	13,450	10,950
32.0 Land and structures...	19	0	0
42.0 Insurance claims and indemnities......................	38	0	0
43.0 Interest and dividends.......................................	3,923	1,748	0
94.0 Financial transfers...	25,049	27,224	0
99.0 Obligations, annual appropriation.................	**$ 377,766**	**$ 378,011**	**$ 324,209**
Subtotal, PC&B......................................	*182,420*	*185,186*	*177,792*
Subtotal, non-labor.................................	*195,346*	*192,825*	*146,417*
99.0 Obligations, no-year appropriation	597	7,500	22,000
99.0 Obligations, reimbursable..................................	1,397	2,299	1,495
99.0 Total obligations...	$ 379,760	$ 387,810	$ 347,704
Full-Time Equivalents (FTE) Direct....................	1,491.0	1,491.0	1,408.0
Full-Time Equivalents (FTE) Reimbursable.......	28.0	34.0	28.0

NARA Budget Activities

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

NARA's request for Operating Expenses is presented in four budget activities, which reflect the agency organizational structure. Costs of agency-wide management and administrative functions are allocated across NARA budget activities for LPM Services, Citizen Services, and Agency and Related Services.

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

- *Citizen Services.* — This activity includes:

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

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

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

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

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

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

- *Facility Operations.*— This activity provides for the operations and maintenance of NARA facilities, which are managed by the Business Support Services organization. In FY 2019, NARA will complete the repayment of principal on debt associated with the construction of the National Archives building in College Park, MD.

This year, a fifth budget activity was added to provide accountability for additional no-year funds requested.

- *Electronic Records Initiative.*— This activity provides for NARA activities expenses necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

Obligations and Authority by Program Activity
(Dollars in Thousands)

	FY 2018 Actual		FY 2019 Annualized CR Level		FY 2020 Request	
	FTE	Obligations	FTE	Authority	FTE	Authority
1. Legislative, Presidential, and Museum Services:						
Presidential Libraries	378.0	$93,611	378.0	$86,329	323.0	$76,160
Legislative Archives, Presidential Materials, and Public Programs	78.0	14,676	78.0	14,927	80.0	13,321
Subtotal, LPM Services.......................................	456.0	$108,287	456.0	$101,256	403.0	$89,481
2. Citizen Services:						
Research Services	646.0	$94,433	646.0	$92,996	637.0	$89,939
Office of Innovation	70.0	13,283	70.0	13,348	67.0	12,836
Subtotal, Citizen Services..................................	716.0	$107,716	716.0	$106,344	704.0	$102,775
3. Agency and Related Services:						
Agency Services	228.0	$42,665	228.0	$42,232	209.0	$38,153
Electronic Records Archives	27.0	27,644	27.0	30,735	29.0	22,856
Federal Register	64.0	11,500	64.0	11,814	63.0	11,656
Subtotal, Agency and Related...........................	319.0	$81,809	319.0	$84,781	301.0	$72,665
4. Facility Operations:						
NARA Facility Operations	0.0	$79,954	0.0	$85,630	0.0	$58,688
GPO space improvements (no-year)	0.0	597	0.0	7,500	0.0	0
Subtotal, Facility Operations.............................	0.0	$80,551	0.0	$93,130	0.0	$58,688
5. Electronic Records Initiative (no-year)	0.0	$0	0.0	$0	0.0	$22,000
Total, Annual Appropriation.................................	1,491.0	$377,766	1,491.0	$378,011	1,408.0	$323,609
Total, No-year Appropriation...............................	0.0	$597	0.0	$7,500	0.0	$22,000

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

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
LPM Services	$ 108,287	$101,256	$ 89,481

NARA's FY 2020 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- $56,318 thousand for the Presidential Libraries system, including $21,376 thousand for the operations and maintenance of facilities;

- $4,422 thousand for nationwide education, outreach, and exhibits programs;

- $2,300 thousand for the Center for Legislative Archives, which provides records management services for Congress; and

- $1,710 thousand for the Presidential Materials Division, which provides records management guidance and courtesy storage for the incumbent administration and oversees special access and declassification at the Presidential Libraries.

An additional $24,731 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

LPM Services Strategic Direction

The *Legislative Archives, Presidential Libraries, and Museum (LPM) Services* organization maintains the exclusive repository for the official records of Congress and the Presidency; preserves an ever-growing and complex array of electronic records, media, and textual records; and provides trusted, timely reference to members of Congress, current and former Presidents, the Judiciary, academia, and the public. LPM Services preserves and provides access to historical materials for the White House and Congress, and researchers who make use of Presidential and Congressional records. LPM Services uses these and the larger holdings of the National Archives to promote understanding of the American experience for museum visitors, educators, and students across the nation.

Management challenges and opportunities for FY 2020 and future years:

- In recent years, NARA's Center for Legislative Archives has experienced a tremendous increase in the volume of textual and electronic records transferred from the U.S. House of Representatives, the U.S. Senate, and legislative commissions. NARA received appropriations in FY 2016 and FY 2018 to renovate space in the headquarters building of the Government Publishing Office, to provide additional space for the storage of Congressional records. NARA expects to occupy the first phase of construction in FY 2019, while the second phase is currently being designed.

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

all Presidential papers page-by-page, to identify and redact national security and other restricted information, which means it will take decades to make all of the records available to the public. Processing records in response to FOIA requests is even more time-consuming than processing the same number of pages in a systematic, archival fashion and does not produce discrete records collections that would be meaningful to the general public.

LPM Services FY 2020 Budget Request

The FY 2020 budget request provides $89,481 thousand for LPM Services, a net decrease of -$11,775 thousand from the FY 2019 Annualized CR level, including:

- *+$834 thousand for increased personnel costs;*
- *-$5,000 thousand from efficiency savings;*
- *-$4,337 thousand from reducing security measures at NARA-owned facilities; and*
- *-$3,272 thousand from decreases in allocated costs of management and administration, including information technology.*

Citizen Services
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
Research Services	$ 94.433	$ 92,996	$ 89,939
Office of Innovation	$ 13,283	$ 13,348	$ 12,836
Total	$ 107,716	$ 106,344	$ 102,775

NARA's FY 2020 request for *Citizen Services* includes:

- $58,532 thousand for the Research Services organization, for the preservation of permanently valuable Federal government records and for continued access to those records by the researcher community and the general public;

- $8,411 thousand for the Office of Innovation, which leads NARA's open government and digitization efforts, maintains NARA's web and National Archives Catalog presence, and provides innovative tools to enhance collaboration and engagement with the public.

An additional $35,832 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

Research Services Strategic Direction

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

Management challenges and opportunities for FY 2020 and future years:

- NARA is approaching its overall limits in archival storage capacity. NARA currently holds over 4.5 million cubic feet of archival Federal records, but anticipates that an additional 1 million to 2.5 million cubic feet of permanently valuable, historical records will be transferred to Research Services over the next 14 years. Preserving records is a fundamental element of NARA's mission. NARA must have sufficient storage space that meets archival standards in order to preserve them for use by the public.

- Researchers and the public expect access to more contemporary records, yet modern government records are increasingly subject to varied and complex restrictions on access. Contemporary records often contain personally identifiable information (PII), national security, and other restrictions that require detailed review and screening before being released to the public. These records are often inadequately described for easy access. To meet NARA's strategic goal of making 95% of its holdings available through online finding aids, NARA will develop user-generated finding aids that will streamline user access to federal and presidential records.

Research Services FY 2020 Budget Request

The FY 2020 budget request provides $89,939 thousand for Research Services, a net decrease of -$3,057 thousand from the FY 2019 Annualized CR level, including:

- *-$1,761 thousand decrease in personnel costs;*
- *-$117 thousand from efficiency savings;*
- *+$245 thousand for contract increases; and*
- *-$1,424 thousand from decreases in allocated costs of management and administration, including information technology.*

Office of Innovation Strategic Direction

The *Office of Innovation* leads NARA's open government efforts, and is responsible for digitizing records in traditional formats through in-house digitization labs and partnerships with private organizations that digitize NARA records at no cost to the Government. The Innovation Office provides online public access through archives.gov and the online National Archives Catalog and encourages public engagement in historical government records by leading crowdsourcing initiatives, developing innovative public programs, and building relationships with external organizations, including Wikipedia, the Social Networks and Archival Context cooperative (SNAC), and the Digital Public Library of America (DPLA).

Management challenges and opportunities for FY 2020 and future years:

- There is a large and growing public demand for online access to government information and records. In FY 2018, archives.gov and other NARA websites realized almost 40 million visits. NARA has contributed over 12.9 million digital copies of NARA records to DPLA, a collaborative effort between archives, libraries, and museums to create an online library and capture America's living history. Building NARA's online presence and collaborating with other organizations has allowed NARA to expand public access to historical government records far beyond what could be done with NARA's tools and resources alone.

Office of Innovation FY 2020 Budget Request

The FY 2020 budget request provides $12,836 thousand for the Office of Innovation, a net decrease of -$512 thousand from the FY 2019 Annualized CR level, including:

- *-$691 thousand decrease in personnel costs;*
- *+$380 thousand for contract increases; and*
- *-$201 thousand from decreases in allocated costs of management and administration, including information technology.*

Agency and Related Services
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
Agency Services	$ 42,665	$ 42,232	$ 38,153
Electronic Records Archives	27,644	30,735	22,856
Federal Register	11,500	11,814	11,656
Total	$ 81,809	$ 84,781	$ 72,665

NARA's FY 2020 request for *Agency and Related Services* includes:

- $23,939 thousand for the Agency Services organization, including $4,073 thousand for the Information Security Oversight Office, $5,812 thousand for the National Declassification Center, and $1,212 thousand for the Office of Government Information Services;

- $22,856 thousand for the electronic records management activities of the Electronic Records Archives system; and

- $7,825 thousand for the Office of the Federal Register.

An additional $18,045 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

Agency Services Strategic Direction

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

Management challenges and opportunities for FY 2020 and future years:

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

- NARA's National Declassification Center (NDC) is responsible for the safeguarding of classified national security information, streamlining declassification processes, facilitating quality assurance measures, and implementing standardized training regarding the declassification of archival records. Tens of millions of pages require declassification processing annually, many of which require intensive declassification review. In addition, the NDC has a small but growing backlog of classified special media (motion picture, sound, and video recordings as well as photographs, etc.). The NDC must not only plan for addressing more than 198,000 cubic feet of classified textual and other analog records that are currently scheduled for transfer to NARA but large volumes of classified electronic records.

Agency Services FY 2020 Budget Request

The FY 2020 budget request provides $38,153 thousand for Agency Services, a net decrease of -$4,080 thousand from the FY 2019 Annualized CR level, including:

- *-$2,199 thousand decrease in personnel costs; and*
- *-$1,881 thousand from decreases in allocated costs of management and administration, including information technology.*

Information Services Strategic Direction

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

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

Management challenges and opportunities for FY 2020 and future years:

- Maintaining effective IT Security remains a challenge for all Federal agencies, including NARA. NARA has made significant progress in establishing perimeter defenses at the network level, but must make greater progress in deploying user and device authentication services. NARA must expand its use of two-factor authentication of users, devices, and applications to provide greater security within the network, and better block and isolate malicious activities.

- Federal government data sets are growing in size and complexity, and the transfer of this data is an emerging threat to records management and archiving. Today, large data transfers require physical movement and transfer of storage devices. The future state for effective data management across the government is to manage data in place, instead of moving it. Cloud storage offers the opportunity to transfer custody and control of Federal government records and the associated metadata without physically moving them. NARA

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

Electronic Records Archives **FY 2020 Budget Request**

The FY 2020 budget request provides $22,856 thousand for the ERA system, a net decrease of -$7,879 thousand from the FY 2019 Annualized CR level, including:

- *+$221 thousand increase for personnel costs; and*
- *-$8,100 thousand from the non-recurring FY 2019 initiative to preserve Presidential electronic records and other reductions.*

Funds requested for ERA in FY 2020 will be used to provide for maintenance of hardware and software, and provide for a small staff and contractor support for networking, maintenance, IT Security, backup and recovery, and help desk functions for ERA.

Federal Register Strategic Direction

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

Management challenges and opportunities for FY 2020 and future years:

- The Office of the Federal Register is a statutory partner with the Government Publishing Office (GPO), and relies heavily on their online content management system, the Federal Digital System (FDsys). FDsys offers new opportunities to develop "web-first" publications that are designed to be posted directly to the Internet and printed only when required by a customer.

- NARA relies on GPO to provide both work processes and IT infrastructure for production of the daily Federal Register, Code of Federal Regulations, and other print and online publications of the Office of the Federal Register. GPO provides all of the composition activities, rendering, publishing, printing, and electronic hosting for Federal Register publications, worth approximately $30 million per year. GPO is reimbursed by other agencies, which pay GPO for publication services through the GPO revolving fund.

Federal Register FY 2020 Budget Request

The FY 2020 budget request provides $11,656 thousand for the Office of the Federal Register, a net decrease of -$158 thousand from the FY 2019 Annualized CR level, including:

- *+$349 thousand increase for personnel costs; and*

- *-$507 thousand from decreases in allocated costs of management and administration, including information technology.*

Facility Operations
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
Facility Operations	$ 79,954	$ 85,630	$ 58,688
GPO Space Improvements	$ 597	$ 7,500	$ 0
Total	$ 80,551	$ 93,130	$ 58,688

NARA's FY 2020 request for *Facility Operations* includes:

- $58,688 thousand for rent, utilities, and other costs of operations and maintenance at three NARA-owned Federal buildings and 26 leased facilities.

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

Business Support Services Strategic Direction

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

The *Business Support Services* organization supports the NARA mission by providing efficient and effective centralized administrative services, including project management, physical security, and facility and property management.

Management challenges and opportunities for FY 2020 and future years:

- NARA's archival holdings grow every year, and require continual expansion of records storage space, even as the Federal government is seeking to reduce and consolidate real property assets. NARA has gained over 613,000 cubic feet of newly-accessioned archival records since FY 2013, an increase of 13 percent, but has not seen an equivalent increase in space available for the storage of these records. NARA expects to receive an additional 1 million to 2.5 million cubic feet of new archival records over the next 14 years.

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

Facility Operations **FY 2020 Budget Request**

The FY 2020 budget request provides $58,688 thousand for Facility Operations, a net decrease of $26,342 thousand from the FY 2019 Annualized CR level, including the following:

- *+$2,770 thousand for increases to rent and other costs of operations and maintenance;*
- *+$750 thousand to provide for rental payments to GPO for new Congressional storage space;*
- *-$28,972 thousand for the final payment to finance the construction of the National Archives building in College Park, MD; and*
- *-$890 thousand to align security measures at NARA-owned facilities to reflect individual security needs.*

Electronic Records Initiative
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
Electronic Records Initiative	$ 0	$ 0	$ 22,000

NARA's FY 2020 request for *Electronic Records Initiative* includes:

- $22,000 thousand to support implementation of NARA's FY 2018-2022 Strategic Goal to stop accepting analog records by December 31, 2022 and to support Federal agencies' transition to fully electronic recordkeeping.

Funds requested for Electronic Records Initiative in FY 2020 will provide for the repair and alteration of the National Archives facility in College Park, MD and related improvements necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records.

Information Technology (IT) Resource Statement

FEB 1 9 2019

To: Office of Management and Budget

From: Swarnali Haldar   Colleen Murphy
          Chief Information Officer   Chief Financial Officer

Subject: Information Technology (IT) Resource Statements

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

- The CIO and CFO collaborated on the IT Budget submission, which includes appropriate estimate of IT resources;

- The CFO and the CIO jointly affirm that the CIO had a significant role in reviewing and approving all IT investments, including planned IT support for major programs and any associated significant increases or decreases in IT resources reflected in the Agency budget request;

- As a non-CFO Act Agency, the FITARA requirements are not applicable;

- The CIO certifies that she is aware of the investments that are using incremental development practices, emphasizing the Electronic Records Archives 2.0 which is NARA's primary software development project.

X _____   X _____
Swarnali Haldar   Colleen Murphy
Chief Information Officer   Chief Financial Officer

NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION
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National Archives and Records Administration

OFFICE OF INSPECTOR GENERAL

Fiscal Year 2020 Budget Request

CONTENTS

Appropriation Language

For necessary expenses of the Office of Inspector General in carrying out the provisions of **[** the

Inspector General Reform Act of 2008, Public Law 110–409,122 Stat. 4302–16 (2008), and **]** the

Inspector General Act of 1978 (5 U.S.C. App.), **as amended**, and for the hire of passenger motor

vehicles, **$4,801,000**.

Analysis of Language Provisions and Changes

The Office of Inspector General proposes new language for FY 2020 that is underlined above.

Program Description

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

Explanation of Changes
(Dollars in Thousands)

	FTE	Budget Authority
FY 2019 Annualized Continuing Resolution level......................................	24.0	$ 4,801
FY 2020 Appropriation request..	24.0	4,801
Net Change..	0.0	$ 0

Summary of the Request

The FY 2020 budget requests $4,801 thousand for the Office of Inspector General (OIG), which is the same amount from the annualized rate of operations provided in the FY 2019 Continuing Resolution.

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

In accordance with the IG Act, as amended, the IG has certified that the requested amount satisfies all training requirements and necessary support to the Council of Inspectors General on Integrity and Efficiency (CIGIE) for FY 2020.

- The OIG request includes $46 thousand for training in FY 2020, to support the continuing professional development of OIG staff. The Government Accountability Office (GAO) states that all auditors should receive at least 80 hours of training every two years. Auditors require training in areas such as: contract and grant auditing; performance management; fraud auditing, information technology (IT) security, project management, and network and applications management. Special agents are required to receive periodic refresher training in trial process; Federal criminal and civil legal updates; interviewing techniques and policy; law of arrest, search, and seizure; firearms use; physical conditioning; and defensive tactics. Management, legal, and administrative staff also require periodic training to remain proficient and effective at their jobs.

- NARA's OIG supports the Interagency Council of Inspectors General on Integrity and Efficiency (CIGIE). NARA expects to contribute approximately $9,602 in FY 2020.

Strategic Direction

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

OIG activities cover all aspects of NARA operations at 43 facilities nationwide holding billions of historic records, hundreds of thousands of artifacts, and hundreds of terabytes of electronic records. This ever growing repository includes classified and highly sensitive records, military and civilian personnel records, Presidential records, and Presidential gifts. The OIG must audit increasingly complicated information technology systems, financial actions, and all of the programs and operations of the agency. OIG investigations encompass an incredible range of criminal activity including theft of our Nation's historical holdings, procurement fraud, espionage and unauthorized release of classified information, loss of personally identifiable information (PII), compromise of NARA IT systems, ethics violations, and other inappropriate conduct.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
Discretionary authority:			
Annual appropriation..	$ 4,801	$ 4,801	$ 4,801
Unobligated balance, expiring……………………….	-$ 543	$ 0	$ 0
Total obligations………………………………..	**$ 4,258**	**$ 4,801**	**$ 4,801**
Net outlays	*$ 4,327*	*$ 4,477*	*$ 5,041*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
11.1 Full-time, permanent..	$ 2,535	$ 2,515	$ 2,563
11.5 Other personnel compensation........................	181	194	198
12.1 Civilian personnel benefits...............................	984	1,016	1,033
21.0 Travel and transportation of persons...............	24	33	33
25.1 Advisory and assistance services....................	403	934	857
25.2 Other services from non-Federal sources.......	18	14	16
25.3 Other goods & services from Fed. sources.....	27	15	21
25.4 Operation and maintenance of facilities...........	0	0	0
25.7 Operation and maintenance of equipment.......	12	10	10
26.0 Supplies and materials....................................	60	50	50
31.0 Equipment...	14	20	20
99.0 Total obligations..	**$ 4,258**	**$ 4,801**	**$ 4,801**
Subtotal, PC&B.....................................	*3,700*	*3,725*	*3,794*
Subtotal, non-labor................................	*558*	*1,076*	*1,007*
Full-Time Equivalents (FTE)............................	19.0	24.0	24.0

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National Archives and Records Administration

REPAIRS AND RESTORATION

Fiscal Year 2020 Budget Request and

Capital Improvements Plan

CONTENTS

Appropriation Language

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage

for holdings, **$7,500,000**, to remain available until expended.

Program Description

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

Explanation of Changes
(Dollars in Thousands)

	Budget Authority
FY 2019 Annualized Continuing Resolution level...	$ 7,500
FY 2020 Appropriation request...	<u>7,500</u>
Net Change..	$ 0

Summary of the Request

The FY 2020 budget requests $7,500 thousand for Repairs and Restoration of NARA-owned Federal buildings, which is the same amount from the annualized rate of operations provided in the FY 2019 Continuing Resolution.

The FY 2020 budget request provides for repairs and alterations to the 17 Federal buildings that NARA owns, operates, and maintains: the National Archives buildings in Washington, DC, College Park, MD, and Atlanta, GA, and 14 Presidential Libraries and Museums across the United States.

NARA has two buildings listed on the National Register of Historic Places: the National Archives in Washington, DC, first occupied in 1935, and the Franklin D. Roosevelt Library in Hyde Park, NY, which was dedicated in 1941. All NARA buildings store and protect historically valuable and irreplaceable documents. Each year, nearly 4.5 million Americans visit NARA facilities to conduct research, attend conferences, view exhibits, and participate in educational programs.

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

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
Unobligated balance carried forward........................	$ 1,617	$ 105	$ 276
Recoveries of prior-year obligations.........................	$ 74	$ 171	$ 171
New discretionary authority:			
No-year appropriation.....................................	$ 7,500	$ 7,500	$ 7,500
New Discretionary authority................................	**$ 7,500**	**$ 7,500**	**$ 7,500**
Unobligated balance, available in future years.........	-$ 105	-$ 276	$ 0
Total obligations...	**$ 9,086**	**$ 7,500**	**$ 7,947**
Net outlays	*$ 9,586*	*$ 11,106*	*$ 9,596*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
25.1 Advisory and assistance services………………	$ 1,408	$ 0	$ 0
25.2 Other services…………………………………	44	0	0
25.3 Goods and services from Gov't accounts……..	0	0	0
25.4 Operation and maintenance of facilities………..	127	0	0
26.0 Supplies and materials………………………….	17	0	0
31.0 Equipment………………………………………..	14	0	0
32.0 Land and structures...	7,476	7,500	7,947
99.0 Total obligations...	**$ 9,086**	**$ 7,500**	**$ 7,947**

FY 2020 Capital Improvements Plan

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

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

Building Projects

Dwight D. Eisenhower Library, Abilene, KS, Renovations (Design & Construction).—The Eisenhower Library complex needs a major renovation to bring it up to the current Architectural Design Standards for Presidential Libraries (ADSPL).

NARA's most recent Building Condition Report (BCR) on the Eisenhower Library complex found that the buildings are well constructed and maintained, but some buildings have yet to receive a major renovation (only partial renovations) since the Library opened in the mid-1960s. This is particularly significant because preservation standards relative to temperature, humidity, and air quality have changed considerably since the time of the original construction.

NARA has incrementally replaced building systems that were in the most urgent need of replacement and could not wait for the larger renovation. These projects have allowed NARA to reduce the costs of a larger renovation project but only to a limited degree, since the incremental projects are not as efficient and leave portions of each facility without renovations. In FY 2015, NARA completed a roof repair and replacement project, extending the life of the roof 10 years. In FY 2016, NARA invested almost $2,000,000 to replace some heating and mechanical systems for the Library and replaced the main entrance doors with power-assisted entry doors to address ADA compliance. In FY 2018, NARA invested over $1,000,000 to address asbestos removal and air handler units.

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

Most of the major building systems in the College Park facility have been well maintained but reached the end of their 25-year service life in FY 2017; as many of the systems were installed during building construction in 1992. NARA HVAC systems have been required to maintain archival storage standards 24 x 7, 365 days per year for nearly 25 years. In FY 2016, NARA refurbished existing gas filtration units for air handling units. NARA has started replacing components in several of the HVAC systems, but in many cases, the entire system has reached the end of its anticipated service life. Most major mechanical equipment has an anticipated service life of between 20 to 30 years of normal use.

Ronald Reagan Library, Simi Valley, CA, HVAC Phase 2 Renovation (Design & Construction).–The Reagan Library was originally constructed in 1991 and expanded in 2003, with the construction of the Presidential Learning Center. Many systems within the original construction reached the end of their 25-year service life in FY 2014 and require a major renovation.

NARA replaced portions of the original building systems in connection with a 2011 renovation of the museum space that was funded by the private Ronald Reagan Foundation. NARA replaced parts of the HVAC equipment, but only in areas disturbed by the renovation of the museum. At the time of the HVAC replacement, NARA prepared a phase 2 design plan to bring all of the HVAC systems into compliance with the current archival standards. That phase 2 design needs re-design and multi-year construction funding. A large roof replacement and security upgrade were completed in 2015 and 2016.

Harry S. Truman Library, Independence, MO, HVAC Building Renovation (Design & Construction).–The Truman Library requires a complete HVAC renovation in order to bring the entire building into compliance with the current Architectural Design Standards for Presidential Libraries. In the late 1990s, NARA renovated a portion of the Truman Library. At that time, there were areas that were not included in the renovations and the current archival storage standards had not been developed. Since then, many small repairs have been made, based on BCR recommendations (mostly related to the fire protection and fire alarm systems, and an elevator replacement project). In 2014, NARA replaced the complete building security system. In FY 2015, NARA completed a two-year project to replace the facility's air handling units. The areas that have not been renovated still require attention, and the previously renovated area needs to be revisited to bring the facility into compliance with current archival storage standards.

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

Lyndon B. Johnson Library, Austin, TX, Space Alteration (Design & Construction).–The Johnson Library requires a major renovation, both due to the age of the facility and to address specific repairs identified in the most recent BCR. The library has not undergone a major renovation, other than recent repairs to the plaza and replacement of some of the building air handling units

(under a 2006 ESPC energy savings project), since its dedication in May 1971. In FY 2018, NARA awarded a roof replacement project for the Library.

William J. Clinton Library, Little Rock, AR, Desiccant Dryer Replacement (Construction).–The Clinton Library uses several desiccant dryers (used to reduce humidity levels in storage areas) to maintain the necessary preservation standards for Presidential records. Desiccant dryers normally have a service life of 10 to 15 years before they need a major retrofit. The Clinton dryers were installed in 2004 and will need to be replaced by 2019. The Clinton Library (opened in 2004) will be nineteen years old in FY 2022, and it is anticipated that some renovation work will be needed for building structure and systems.

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

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National Archives and Records Administration

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

Fiscal Year 2020 Budget Request

CONTENTS

Appropriation Language

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

Analysis of Language Provisions and Changes

No appropriations are requested for the National Historical Publications and Records Commission (NHPRC) grants program in FY 2020.

Program Description

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

Explanation of Changes
(Dollars in Thousands)

	Budget Authority
FY 2019 Annualized Continuing Resolution level..	$ 6,000
FY 2020 Appropriation request...	0
Net Change...	-$ 6,000

Summary of the Request

NARA requests no new funding in the FY 2020 budget for the National Historical Publications and Records Commission (NHPRC). Appropriations to the NHPRC Grants Program provide for grants only; an additional $1,478 thousand in the NARA Operating Expenses appropriation provides for the salaries and expenses of administering the NHPRC grants program. This funding and the associated FTE will be needed in FY 2020 to administer grants awarded in previous years.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
Unobligated balance carried forward.......................	$ 2,225	$ 1,543	$ 0
Recoveries of prior-year obligations........................	$ 191	$ 275	$ 275
New discretionary authority:			
No-year appropriation...	$ 6,000	$ 6,000	$ 0
Unobligated balance, available in future years.........	-$ 1,543	$ 0	-$ 275
Total obligations..	**$ 6,873**	**$ 7,818**	**$ 0**
Net outlays	*$ 4,976*	*$ 7,487*	*$ 7,431*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2018 Actual	FY 2019 Annualized CR Level	FY 2020 Request
41.0	Grants, subsidies, and contributions............	$ 6,873	$ 7,818	$ 0
99.0	**Total obligations...**	**$ 6,873**	**$ 7,818**	**$ 0**

National Archives and Records Administration

SPECIAL FUNDS

Fiscal Year 2020 Budget Request

CONTENTS

Records Centers Revolving Fund

Authorizing Language

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

Program Description

This full cost recovery revolving fund provides for the storage and related services that NARA Records Centers provide to Federal agency customers. NARA Federal Records Centers provide low-cost, high-quality storage and related services, including: transfer, reference, re-file, and disposal services for temporary and pre-archival Federal government records. In FY 2020, NARA will begin offering digitization services to Federal agencies through the Revolving Fund.

Explanation of Changes
(Dollars in Thousands)

	FTE	Obligations
FY 2019 Current..	1,201.0	$ 194,500
FY 2020 Budget..	1,201.0	195,500
Net Change..	0.0	$ 1,000

The FY 2020 budget includes an estimated $195,500 thousand in obligations for the Records Centers Revolving Fund. This represents a net increase of $1,000 thousand from FY 2019 estimated obligations. This full cost-recovery revolving fund provides for the operations of the NARA Federal Records Centers Program (FRCP). The FRCP stores over 27 million cubic feet of Federal government records on a temporary basis, on behalf of other Federal agencies. The FRCP is financed by payments from customer Federal agencies for services rendered.

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

Income/Cost Comparison
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Current	FY 2020 Budget
Revenue...	$ 192,484	$ 192,600	$ 193,500
Expenses..	192,284	192,200	193,000
Net Operating Result....................................	**$ 200**	**$ 400**	**$ 500**

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Current	FY 2020 Budget
Unobligated balance carried forward........................	$ 64,126	$ 72,678	$ 73,178
Recoveries of prior-year obligations........................	$ 3,690	$ 2,400	$ 2,500
New discretionary authority:			
Collections from other Federal agencies...............	$ 192,763	$ 192,600	$ 193,500
Change in unfilled customer orders.......................	$ 8,597	$ 0	$ 0
New Discretionary authority.................................	**$ 201,361**	**$ 192,600**	**$ 193,500**
Unobligated balance, available in future years.........	-$ 72,678	-$ 73,178	-$ 73,678
Total obligations...	**$ 196,499**	**$ 194,500**	**$ 195,500**
Net outlays	*-$ 2,427*	*$ 0*	*$ 0*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2018 Actual	FY 2019 Current	FY 2020 Budget
11.1	Full-time, permanent..	$ 62,368	$ 65,730	$ 65,821
11.3	Other than full-time permanent............................	552	684	685
11.5	Other personnel compensation............................	4,910	3,783	3,788
11.8	Special personal services payments...................	38	60	60
12.1	Civilian personnel benefits....................................	23,630	24,783	24,817
13.0	Benefits for former personnel..............................	45	300	300
21.0	Travel and transportation of persons..................	499	500	500
22.0	Transportation of things..	1,626	1,545	1,600
23.1	Rental payments to GSA.......................................	43,867	43,900	44,400
23.2	Rental payments to others....................................	11,892	12,300	12,443
23.3	Communications, utilities, and misc. charges....	4,635	4,805	4,860
24.0	Printing and reproduction......................................	95	50	100
25.1	Advisory and assistance services........................	2,753	3,550	2,800
25.2	Other services from non-Federal sources..........	9,417	2,700	3,935
25.3	Other goods & services from Federal sources...	12,378	11,800	12,400
25.4	Operation and maintenance of facilities..............	265	400	425
25.7	Operation and maintenance of equipment..........	11,349	10,900	11,100
26.0	Supplies and materials..	1,407	1,110	1,110
31.0	Equipment..	4,536	5,600	4,356
32.0	Land and structures...	237	0	0
99.0	**Total obligations..**	**$ 196,499**	**$ 194,500**	**$ 195,500**
	Subtotal, PC&B...	*91,543*	*95,340*	*95,471*
	Subtotal, non-labor...................................	*104,956*	*99,160*	*100,029*
	Full-Time Equivalents (FTE)..............................	1,189.0	1,201.0	1,201.0

National Archives Gift Fund

Authorizing Language

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

Program Description

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

Explanation of Changes
(Dollars in Thousands)

	Obligations
FY 2019 Current..	$ 6,432
FY 2020 Budget...	4,912
Net Change...	-$ 1,520

The FY 2020 budget includes an estimated $4,912 thousand in obligations for the National Archives Gift Fund, a net decrease of -$1,520 thousand compared to FY 2019 estimated obligations of $6,432 thousand. FY 2019 planned obligations include a permanent exhibit renovation. Also included in both FY 2019 and FY 2020 are the transportation and storage costs for the Obama Library.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Current	FY 2020 Budget
Unobligated balance carried forward.......................	$ 2,592	$ 3,525	$ 3,685
Recoveries of prior-year obligations........................	$ 19	$ 65	$ 65
New mandatory authority:			
Mandatory Appropriation....................................	**$ 3,563**	**$ 6,527**	**$ 3,995**
Unexpired unobligated balance, end of year............	-$ 3,525	-$ 3,685	-$ 2,833
Total obligations..	**$ 2,649**	**$ 6,432**	**$ 4,912**
Net outlays	*$ 2,644*	*$ 5,880*	*$ 4,426*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2018 Actual	FY 2019 Current	FY 2020 Budget
21.0	Travel and transportation of persons...................	$ 35	$ 81	$ 80
22.0	Transportation of things..	2	27	422
23.3	Communications, utilities, and misc. charges....	1	0	0
24.0	Printing and reproduction.....................................	24	52	40
25.2	Other services from non-Federal sources..........	724	3,614	2,510
25.3	Other goods & services from Federal sources...	440	526	160
26.0	Supplies and materials...	28	75	75
31.0	Equipment..	51	157	25
32.0	Land and structures..	0	200	0
33.0	Investments..	738	1,100	1,000
94.0	Financial Transfers...	606	600	600
99.0	**Total obligations..**	**$ 2,649**	**$ 6,432**	**$ 4,912**

National Archives Trust Fund

Authorizing Language

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

Program Description

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

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

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

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

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

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

Explanation of Changes
(Dollars in Thousands)

	FTE	Obligations
FY 2019 Current...	61.0	$ 17,298
FY 2020 Budget..	62.0	15,711
Net Change...	1.0	-$ 1,587

The FY 2020 budget includes an estimated $15,711 thousand in obligations for the National Archives Trust Fund. This represents a net decrease of -$1,587 thousand from FY 2019 estimated obligations.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2018 Actual	FY 2019 Current	FY 2020 Budget
Unobligated balance carried forward........................	$ 5,173	$ 5,825	$ 6,345
Unobligated balance, precluded from obligation......	$ 0	-$ 104	-$ 166
Recoveries of prior-year obligations........................	$ 911	$ 850	$ 850
New mandatory authority:			
Collections from Federal and Non-Federal sources	$ 16,782	$ 17,300	$ 17,900
Change in unfilled customer orders	-$ 13	$ 0	$ 0
Joint Committee Sequestration[1]………….………	-$ 104	-$ 62	-$ 62
New Discretionary authority...............................	**$ 16,665**	**$ 17,238**	**$ 17,838**
Unexpired unobligated balance, end of year............	-$ 5,721	-$ 6,511	-$ 9,156
Unobligated balance, precluded from obligation......	[104]	[166]	[228]
Total obligations...	**$ 17,028**	**$ 17,298**	**$ 15,711**
Net outlays	*-$ 854*	*$ 0*	*$ 0*

1. As required by section 251A of the Balanced Budget and Emergency Deficit Control Act, as amended (2 U.S.C. § 901a), administrative expenses for the Trust Fund were reduced by 6.6 percent in FY 2018, and an estimated 6.2 percent in FY 2019 and FY 2020.

Obligations by Object Classification
(Dollars in Thousands)

		FY 2018 Actual	FY 2019 Current	FY 2020 Budget
11.1	Full-time, permanent..	$ 3,448	$ 3,636	$ 3,692
11.3	Other than full-time permanent............................	88	86	87
11.5	Other personnel compensation...........................	170	193	196
12.1	Civilian personnel benefits..................................	1,362	1,315	1,355
21.0	Travel and transportation of persons...................	121	130	113
22.0	Transportation of things.......................................	146	199	177
23.2	Rental payments to others....................................	50	0	0
23.3	Communications, utilities, and misc. charges....	69	100	100
24.0	Printing and reproduction.....................................	428	402	330
25.1	Advisory and assistance services........................	36	4	3
25.2	Other services from non-Federal sources..........	3,128	4,500	2,500
25.3	Other goods & services from Federal sources...	1,209	1,011	1,000
25.4	Operation and maintenance of facilities..............	157	107	73
25.7	Operation and maintenance of equipment..........	226	201	163
26.0	Supplies and materials...	1,488	900	1,000
31.0	Equipment..	262	175	51
32.0	Land and structures..	445	422	138
33.0	Investments...	4,195	3,917	4,733
99.0	**Total obligations..**	**$ 17,028**	**$ 17,298**	**$ 15,711**
	Subtotal, PC&B...	*5,068*	*5,230*	*5,330*
	Subtotal, non-labor...................................	*11,960*	*12,068*	*10,381*
	Full-Time Equivalents (FTE)……………………	60.0	61.0	62.0

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

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

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

Benefits of Electronic Government (E-Gov) Initiatives
(In Whole Dollars; All Dollars are from the Operating Expenses appropriation unless otherwise noted)

E-Gov Initiative	Benefits	Funding by Account	
		FY 2019	FY 2020
E-Rulemaking	e-Rulemaking allows NARA to fully participate in the Federal Docket Management System, making it easier for the public to review and comment on proposed regulations. The Records Management module allows NARA to maintain electronic dockets in a recordkeeping system.	$ 6,484 service fee	$ 6,295 service fee
		$ 3,974 service fee Revolving Fund	$ 3,858 service fee Revolving Fund
Recruitment One-Stop	Recruitment One-Stop provides NARA with an effective mechanism for finding qualified applicants for vacant positions, through USAJOBS.gov. USAJOBS is an online portal which citizens can use to easily search for employment opportunities at NARA. NARA posts all of its job announcements through USAJOBS.gov.	$ 13,455 service fee	$ 13,455 service fee
		$ 12,420 service fee Revolving Fund	$ 12,420 service fee Revolving Fund

Benefits of Electronic Government (E-Gov) Initiatives
(In Whole Dollars; All Dollars are from the Operating Expenses appropriation unless otherwise noted)

E-Gov Initiative	Benefits	Funding by Account	
		FY 2019	FY 2020
E-Travel	E-Travel provides NARA with efficient and effective travel management services. Benefits include cost savings from cross-government purchasing agreements, streamlined travel policies and processes, strict security and privacy controls, and enhanced agency oversight and audit capabilities. NARA employees benefit through more efficient travel planning, authorization, and reimbursement processes.	$ 55,099 service fee	$ 55,099 service fee
		$ 32,359 service fee Revolving Fund	$ 32,359 service fee Revolving Fund
Grants.gov	Grants.gov benefits NARA's grant program by providing a single location to publish grant award opportunities and application packages, and a single site for the grants community to apply for grants using common forms, processes, and systems.	$ 38,792 agency contribution	$ 28,000 agency contribution
Freedom of Information Act Portal	The National FOIA Portal improves overall FOIA administration, providing citizens with a single site to submit electronic request for records from any agency.	$ 51,000 agency contribution	$ 51,000 agency contribution

This section reports on agency actions to address top Management Challenges identified by the NARA Office of Inspector General (OIG) in their most recent Semiannual Report to Congress (covering the period April 1 to September 30, 2018). This section is provided to comply with the reporting requirements provided in the introductory language of Division E of the Joint Explanatory Statement accompanying the FY 2016 Consolidated Appropriations Act (P.L. 114-113).

The NARA OIG conducts independent audits, investigations, and other reviews that present findings and provide recommendations for corrective actions. The OIG consolidates and aligns their findings and recommendations to identify broader areas that the OIG believes represent the agency's most significant challenges. The OIG reports those areas identified as NARA's top ten management challenges on a semi-annual basis.

The following table describes top Management Challenges identified by the NARA OIG and explains how NARA's FY 2020 budget request addresses each challenge. The descriptions of OIG Management Challenges are summaries prepared by Management and are not represented as independent or objective descriptions. The original descriptions prepared by the NARA OIG can be found in the most recent OIG Semiannual Report to Congress, located at link: https://www.archives.gov/files/oig/reports/mara-oig-sar-fy18b-apr-thru-sept2018.pdf.

Management Challenge	NARA Actions
1. **Electronic Records Archives (ERA):** The ERA system is NARA's primary strategy for addressing the challenge of storing, preserving, transferring, and providing public access to our nation's electronic records. The program has been fraught with delays, cost overruns, and technical shortcomings and deficiencies. As a result, many core requirements were not fully addressed, and ERA has had problems with reliability, scalability, usability, and cost. .	The FY 2020 budget for NARA Operating Expenses continues funding (within the base) for the development of ERA 2.0. In FY 2019 and FY 2020, NARA will develop new tools and services in ERA 2.0 that will allow archivists to more efficiently process electronic records, addressing key findings of the OIG. In FY 2018, NARA deployed core functionality in ERA 2.0 for Federal agency electronic records. NARA will begin to modernize systems used to process and store Presidential electronic records in a unified cloud environment, and will retire legacy systems, effectively resolving long-standing OIG concerns and addressing "funds put to better use" concerns raised in previous OIG audits of ERA.

Management Challenge	NARA Actions
2. Improving Records Management: NARA must work with Federal agencies to ensure the effective and efficient appraisal, scheduling, and transfer of permanent records, in both traditional and electronic formats. NARA is challenged to ensure appropriate retention and preservation of records – especially electronic records – at other Federal agencies while adapting to a rapidly changing technological environment and the exponential growth of electronic records. The Presidential Memorandum *Managing Government Records* and OMB Memorandum M-12-18, *Managing Government Records Directive*, established aggressive goals for Federal Executive agencies to transition to fully-electronic recordkeeping. NARA and Federal agencies are challenged with meeting these deadlines, determining how best to manage electronic records in accordance with this guidance, and how to make electronic records management work more effectively.	The FY 2020 budget for NARA <u>Operating Expenses</u> includes funding to support government-wide policy, oversight, and training in records management for other Federal agencies. In FY 2019, NARA will further develop standard business requirements and use cases for records management systems. NARA will continue to work with GSA to develop new contract vehicles to support agencies' acquisition of new electronic records management systems.
3. Information Technology Security: Annual assessments of NARA's compliance with the Federal Information Security Management Act have consistently identified program areas in need of significant improvement. New risks and challenges to NARA IT security are identified each year. Many of these deficiencies stem from the lack of strategic planning with regard to the redundancy, resiliency, and overall design of NARA's network. While initiatives have been introduced to improve NARA's information security program, real progress will not be made until the agency establishes an effective system of internal control for IT security.	The FY 2020 budget for <u>Operating Expenses</u> includes funding to support continuous monitoring of NARA IT systems and networks, and to implement NIST standards for continuous monitoring of IT security risks. In FY 2019, NARA will fully implement HSPD-12 controls over logical access to NARA IT systems and data, and will modernize system platforms for High-Value Assets (HVAs). NARA Management believes these actions directly address key findings and recommendations of the OIG.

Management Challenge	NARA Actions
4. Expanding Public Access to Records: NARA has established a goal of digitizing all analog archival records and making them available online. However, NARA's past digitization efforts have not been large enough to make significant progress towards meeting this goal, and millions of records already digitized have not been made available to the public in an efficient and timely manner. NARA is also challenged to provide online access to records created digitally ("born digital") and to identify those textual records most in demand so they can be digitized and made available electronically. NARA must ensure the appropriate management, strategy, and resources are in place to achieve its access and digitization goals. Approximately 21 percent of NARA's textual holdings have not been processed to allow efficient and effective public access to them. To meet its mission, NARA must work to ensure it has the processes and resources necessary to establish intellectual control over this backlog of unprocessed records.	The FY 2020 budget for <u>Operating Expenses</u> includes funding for a new initiative, Electronic Records Initiative. Once this multi-year project is operational, NARA expects to digitize 8-12 million pages of textual records and 150 TB of audio, video, and film records each year. This is in addition to the digitization work already being done in our digitization labs, custodial units, and by external partners. NARA will continue to digitize records within the FY 2020 request for <u>Operating Expenses</u> and through no-cost arrangements with private sector partners. NARA continues to dedicate funding in the FY 2020 request for <u>Operating Expenses</u> to ensure that traditional records are processed to an appropriate level and that newly-accessioned records are processed in a timely manner. Since FY 2013, NARA has increased the percentage of traditional holdings processed from 65% to 79% of total traditional holdings at the end of FY 2018. This progress was made despite a 13% increase in holdings over the period. NARA has addressed OIG audit recommendations by: establishing a common definition of necessary processing steps; developing performance measures; and establishing controls to reasonably ensure that NARA locations are uniformly applying the standards.

Management Challenge	NARA Actions
5. Meeting Storage Needs of Growing Quantities of Records: NARA is challenged in acquiring sufficient archival space to store its ever-increasing volume of textual records. NARA must also ensure its own facilities, as well as those used by other Federal agencies, comply with NARA-promulgated regulations for appropriate storage of textual records and mitigate risks to records which are stored in facilities not meeting these standards. NARA is also challenged in meeting its requirements for electronic data storage to provide appropriate storage for electronic records.	The FY 2020 budget for <u>Operating Expenses</u> includes funding for the operations and maintenance of NARA storage facilities, and for repairs necessary to maintain storage requirements in leased facilities. The <u>Repairs and Restoration</u> budget includes funding for necessary repairs to NARA-owned buildings. The FY 2016 and FY 2018 Consolidated Appropriations Acts provided funding to improve and acquire new leased space for storage of Congressional records. This new space will provide some relief for NARA's space needs, but is not enough to fully address NARA's storage requirements. The FY 2020 <u>Operating Expenses</u> budget includes funding to continue development of ERA 2.0, which will provide scalable, cloud-based storage for electronic archival records, and requests additional funding to provide for an additional 75,000 cubic feet of archival storage and an additional 2,000 cubic feet of cold storage to preserve records until they can be digitized.
6. Preservation Needs of Records: Preservation resources have not been able to adequately address the growth in holdings needing preservation action. This affects both traditional paper records and the physical media electronic records and audiovisual records are stored on.	The FY 2020 budget for <u>Operating Expenses</u> includes funding for multiple activities and functions designed to ensure the preservation of NARA records in multiple traditional and electronic formats. NARA uses a modern, risk-based preservation strategy to allocate resources on the highest priority preservation needs while ensuring that all records have reasonable safeguards to maintain their overall condition. The FY 2020 budget also requests funding for a modernized special media lab dedicated to the preservation and digitization of our most at risk records (audio, video, and modern picture film records).

Management Challenge	NARA Actions
7. **Improving Project and Contract Management:** NARA is challenged with planning projects, developing adequately defined requirements, analyzing and testing to support acquisition and deployment of the systems, and providing oversight to ensure effective or efficient results within costs. NARA IT projects must be better managed and tracked to ensure budget, scheduling, and performance goals are met. NARA has been inconsistent in its use of key project management disciplines, including earned value management (EVM), which has negatively impacted key IT projects, including HSPD-12 implementation. NARA is also challenged to continue strengthening of its acquisition workforce and improving oversight of contractors.	The FY 2020 budget for Operating Expenses includes funding for program and project managers, as well as continuous certification and training for existing and aspiring project and program managers. NARA's Chief Information Officer has substantially improved Management involvement in IT projects and has established IT Program Manager positions to provide greater oversight over individual IT projects and contractors. NARA will achieve full implementation of HSPD-12 in FY 2019.
8. **Physical and Holdings Security:** NARA must maintain adequate levels of physical security to ensure the safety and integrity of persons and holdings within NARA facilities. NARA's implementation of the Holdings Protection Team and stricter access controls. However, NARA's challenge is to run an effective Holdings Protection Program in an environment where new threats emerge and adversaries are continuously adapting.	The FY 2020 budget for Operating Expenses includes funding for NARA's dedicated Holdings Protection Team, as well as other functions and activities (such as exit screening at select facilities) necessary to ensure the security of NARA's holdings and facilities. Since first identified as a weakness, Management has implemented a large number of physical and internal controls to mitigate the risk of loss. The FY 2020 budget includes funding for testing and monitoring of those controls to deter theft, provide reasonable assurance that vulnerabilities are reduced, and allow for the timely identification of any future weakness. In FY 2019, NARA will begin modernizing NARA's control systems for physical and logical access.

Management Challenge	NARA Actions
9. Human Resources Management: NARA has not developed a comprehensive and cohesive approach to human capital management. Adequate policies and procedures have not been developed, updated, and communicated which makes it difficult to manage human capital efficiently and effectively.	In FY 2019, NARA will migrate to a new shared services provider for human resources services. NARA currently contracts for HR systems and uses NARA employees to provide services. However, NARA has been challenged to achieve acceptable levels of performance and customer service under the current model. As a result, NARA Management determined that the best approach to address this risk is to migrate HR processing work to a shared service provider (and away from NARA FTE).
10. Enterprise Risk Management: NARA has not implemented an Enterprise Risk Management program that clearly identifies, prioritizes and manages risks, and its internal controls program is not fully effective. NARA is vulnerable to risks that it has not foreseen or mitigated, and does not have the capability to effectively identify, manage, and mitigate critical agency risks.	The FY 2020 budgets for Operating Expenses and the Records Centers Revolving Fund include funding for NARA's centralized internal controls program, as well as the internal controls functions performed across the agency. NARA has incrementally matured its system of internal controls, resulting in the identification of several program risks that may not have been recognized. In FY 2019, NARA will begin integration of the internal controls program into the Enterprise Risk Management system required by OMB Circular A-123.

National Archives and Records Administration

**FY 2020 ANNUAL PERFORMANCE PLAN and
FY 2018 ANNUAL PERFORMANCE REPORT**

Fiscal Year 2020 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 2021, 82 percent of NARA holdings will be processed to enable discovery and access by the public.***

Description of measure: Archival processing refers to those actions NARA must take in order to provide efficient access for researchers and members of the public, including: cataloging and description, basic preservation, and adding the records to NARA's inventory control system. 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	2015	2016	2017	2018	2019	2020
Percent of archival holdings processed	*Target*	70%	>72%	78%	79%	80%	81%
	Actual	72%	74%	78%	79%		
Total number of archival holdings processed	*Target*	—	—	—	—	—	—
	Actual	3.5M	3.8M	4.3M	4.5M		

Performance summary: NARA's goal is to complete basic processing between 12 months to18 months after receiving new transfers of records to NARA's legal custody. In FY 2018, NARA incorporated new processing standards into the agency annual work planning and reporting processes. Through September 2018, NARA has a cumulative total of 4.5 million processed records, meeting the annual target of 79 percent of total holdings processed.

In FY 2019, NARA will issue a new processing manual for analog records and analyze processing performance against established benchmarks. NARA will use this analysis to improve quality control and accelerate textual processing. Processing archival records ensures that critical physical and intellectual controls of NARA's holdings are in place and that more holdings are discoverable and available for access by potential users.

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

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

Performance Measure	*Year*	*2015*	*2016*	*2017*	*2018*	*2019*	*2020*
Number of pages digitized and made available online through the Catalog	*Target*	—	baseline	40M	65M	85M	110M
	Actual	—	16.5M	36.5M	53.1M		

Performance Summary: NARA provides public access to over 53 million pages of digitized records through the online National Archives Catalog. This is a substantial increase over prior-year performance, but does not meet NARA's aggressive goal for FY 2018. In FY 2018, NARA encountered challenges in uploading large files of digitized images over NARA's intranet, which limited the number of digitized pages that could be added to the Catalog.

In June, NARA began loading digitized images onto portable storage devices, which were shipped to NARA's Cloud hosting vendor to load directly into the Catalog. This approach has proven successful and should allow NARA to meet its digitization and access goals despite local bandwidth limitations. With this new approach, NARA expects to meet the FY 2018 target in the first quarter of FY 2019.

NARA has taken additional actions that will contribute to future years' performance targets. NARA entered into new digitization agreements with private partners that – once completed – are expected to add 12 million digitized pages to the Catalog. NARA has also procured several desktop scanners for use by NARA staff to digitize, describe, and upload more records into the Catalog.

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 Catalog, as a percentage of the total records and artifacts described in the Catalog at the start of the fiscal year.

Performance Measure	Year	2015	2016	2017	2018	2019	2020
Percentage of series descriptions in the National Archives Catalog made findable through API-based finding aid products	Target	—	—	0.5%	1%	3%	17%
	Actual			0%	0%		

Performance summary: NARA did not meet the FY 2018 goal for this metric; however, the agency has started significant efforts to build evidence to support future years' targets. In FY 2018, NARA developed eight prototype finding aids that leverage the National Archives Catalog's application programming interface (API). One prototype, a feature gallery of records relating to Betty Ford for the Betty Ford Centennial, was deployed in FY 2018 and is currently being used by the public. Two additional prototypes will be deployed in FY 2019: the Guide to Federal Records and a FOIA search interface. In FY 2019, NARA will collect user feedback to gauge the effectiveness of deployed finding aids. In FY 2020, NARA will train archival staff to publish their own finding aids using templates that use the National Archives Catalog API.

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	2015	2016	2017	2018	2019	2020
Percent of customer requests ready within the promised time	Target	—	93%	93%	93%	93%	93%
	Actual	—	95%	92%	96%		

Performance summary: NARA is committed to providing excellent reference services and timely responses to customer requests. NARA will continue to ensure customer satisfaction by providing one-hour turnaround time to in-person requests and responding to written reference requests within 10 business days.

In FY 2019 and FY 2020, NARA will pilot several new initiatives to improve customer service, including digitizing records currently available only on microfiche, scanning military separation documents in records storage bays (instead of moving them to office space to scan), and expanding customer options for digital delivery of requested documents.

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

Description of measure: NARA engages with stakeholders through public 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.

Performance Measure	Year	2015	2016	2017	2018	2019	2020
Percent satisfaction from participants in public engagement activities	Target	—	90%	90%	90%	90%	90%
	Actual	—	—	—	94%*		

*Performance results reflect satisfaction with NARA's public programs.

Performance summary: Throughout FY 2019 and FY 2020, NARA will continue to deliver programs across the agency driven by common civic literacy and engagement goals. NARA will monitor participation and satisfaction levels in agency public and education programs—both physical and online—to ensure that efforts to engage the public are effective.

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

Description of measure: NARA engages with the public in many ways, including through crowdsourcing. NARA uses crowdsourcing to engage citizens in projects that enhance access to our records through transcribing, tagging, and scanning. 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	2015	2016	2017	2018	2019	2020
Cumulative number of records enhanced by citizen contributors	Target	—	—	75K	100K	260K	300K
	Actual	—	—	136K	259K		

Performance summary: NARA exceeded the target for this goal. NARA community managers promote crowdsourcing events and conduct outreach to attract new users for NARA crowdsourcing tools.

In FY 2019, NARA will analyze users' experience to better understand their needs and increase participation in the citizen archivist program. In FY 2020, NARA will develop new interfaces to the National Archives Catalog that integrate citizen archivist activities across NARA's other web platforms.

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

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

Performance summary: In FY 2018, NARA delivered two key products to better support Federal agencies' transition to electronic recordkeeping.

- NARA issued requirements for managing electronic records that allow private vendors to develop software applications, shared services, and cloud-based solutions that comply with Federal recordkeeping statutes, regulations, and guidance.

- NARA also issued "success criteria" for successfully managing permanent electronic records. The guidance describes what agencies should consider from a high-level when managing their permanent electronic records. It includes operational activities with key tasks agencies must carry out as they move towards the 2019 target of managing all permanent electronic records in electronic format.

- In FY 2019, NARA will modernize its Records Management Training Program to provide free, online training for agency records officers through web content, webinars, and training advising services. In FY 2019 and 2020, NARA will issue updated guidance to support mass digitization of permanent and temporary records in agencies, NARA will also issue use cases to address appropriate management of electronic messages, social media records, and web records.

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 2017, 259 agencies participated in the RMSA.

Performance Measure	*Year*	*2015*	*2016*	*2017*	*2018*	*2019*	*2020*
Percent of Federal agencies inspected	*Target*	—	—	—	10%	10%	10%
	Actual	—	—	3%	13%		

Performance summary: In FY 2018, NARA completed formal inspections of 12 agencies. NARA also performed agency assessments of Capstone implementation and records management training that included participation of an additional 23 Federal agencies. In FY 2019, NARA will begin conducting electronic information system audits of agency email and electronic records systems, which will contribute to the 10 percent target.

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

Description of measure: NARA has identified the critical need to transition Federal recordkeeping to a fully-electronic environment 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. NARA will establish baseline metrics for this objective in FY 2019.

Performance summary: In FY 2019, NARA issued draft regulations for public comment that would allow agencies to dispose of original source records once they have been digitized. Once these regulations and standards are issued, Federal agencies will have clear guidance that will support more efficient operations for digitization and the transition to digital government. As part of this work, NARA is preparing to issue a revised General Records Schedule that will provide disposition authority for original records that have been appropriately digitized.

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*	*2015*	*2016*	*2017*	*2018*	*2019*	*2020*
Number of platforms that use NARA records as part of their business model	*Target*	—	—	3	4	22	23
	Actual	—	—	15	21		

Performance summary: In FY 2018, NARA collaborated with other cultural institutions to encourage their re-use of NARA records and encouraged them to incorporate NARA records and data through their external platforms. Specifically, five new platforms started using NARA data, which include:

1. Zooniverse: The American Soldier
2. Zooniverse: African American Civil War Soldiers
3. Nuremberg Trials Project
4. Hein Online JFK Assassination Collection
5. iCONTECT: JFK Files

In FY 2019, NARA will make improvements to the National Archives Catalog API to make it easier to access and re-use Catalog records. In FY 2020, NARA will improve how it maintains relationships with its customers online, including external platforms that use or seek to use our data.

Build our Future through our People

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

Objective: ***By FY 2020, 40 percent of NARA staff at all grade levels will have participated in a formal leadership development program activity to support the agency 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*	*2015*	*2016*	*2017*	*2018*	*2019*	*2020*
Percent of staff who participated in a leadership development activity	*Target*	—	—	baseline	35%	37.5%	40%
	Actual	—	—	32.5%	39.3%		

Performance summary: In FY 2018, NARA deployed a new program for supervisor development. This program focuses on training new supervisors through a combination of instruction and experiential learning. Each year-long program establishes a cohort of leaders who can support each other and build a culture of leadership across NARA. The new training was designed to be delivered remotely, to maximize participation by NARA employees outside of the DC metropolitan area. NARA launched two cohorts in FY 2018, with 35 participants each. NARA anticipates launching three additional cohorts in FY 2019.

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*	*2015*	*2016*	*2017*	*2018*	*2019*	*2020*
Percent of NARA positions filled within 80 days	*Target*	—	45%	55%	65%	75%	85%
	Actual	45%	53%	40%	48%		

Performance summary: NARA made progress in FY 2018 to improve the overall timeliness of human capital processes. NARA analyzed FY 2018 data to identify obstacles in the staffing workflow, which led to modest changes in the hiring process and minor improvements in performance over the previous year. However, NARA is still below its annual target of 65 percent. On average, NARA is filling positions within 93 days instead of 80.

In FY 2019, NARA will transition Human Capital functions to a third-party shared services provider. NARA expects that the human resources shared services provider will complete 85% of hiring actions within the 80-day model.

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*	*2015*	*2016*	*2017*	*2018*	*2019*	*2020*
Percent of NARA positions with career paths	*Target*	—	—	35%	48%	90%	95%
	Actual	—	15%	36%	48%		

Performance summary: In FY 2018, partnered with the Interior Business Center, NARA's shared services provider for human resources information systems, to develop systems and processes for managing positions in the human resources system. This work delayed implementation of new career paths in FY 2018, but will allow NARA to accelerate career-pathing in FY 2019.

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: Milestones and targets for this measure are still in the development phase. NARA will support this effort by using workforce analysis to identify skill profiles for each employee in the future.

Federal Records Management Programs

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

Office of the Chief Records Officer Outreach Activities (FY 2018)

NARA conducted approximately 62 briefings and presentations on Federal record keeping during the fiscal year. Audiences included Federal agency officials, professional organizations, Federal records managers, members of the press, and foreign archivists. Outreach activities were mainly conducted in the Washington, DC area but some were held in various locations throughout the country.

NARA held two inter-agency meetings of SAORM (Senior Agency Officials for Records Management) in FY 2018. The first event was held in November 2017 and included about 120 SAORMs and their accompanying agency records officers (ROs). Topics covered included: cooperation among Federal agencies, NARA's Strategic Plan, and new directions in records management. The second SAORM meeting of FY 2018 was held in June 2018 and included 38 SAORMs from cabinet level and large independent Federal agencies. The Chief Records Officer and his senior staff also met with individual SAORMs and their staff throughout the year to discuss records management issues and activities within their organizations.

There were a number of meetings with foreign representatives involved in different aspects of records management. Most notably, delegations from the upper and lower houses of the Japanese legislature visited NARA to get an understanding of our policies and procedures as they develop new records management legislation and build a new national archives.

Additional outreach included ten major speaking slots at the annual joint meeting of the Council of State Archivists (CoSA), National Association of Government Archives and Records Administrators (NAGARA), and the Society of American Archivists (SAA).

Managing Government Records Directive / Policy and Guidance

The Managing Government Records Directive (OMB Memorandum M-12-18) requires agencies to manage their permanent electronic records in electronic format by the end of calendar year 2019.

In FY 2018, NARA launched the Federal Electronic Records Modernization Initiative to provide a standard, government-wide approach to electronic records management services for Federal agencies. Accomplishments in FY 2018 include two industry days co-hosted with General Services Administration to provide vendors with information about GSA's new Schedule 36, Special Item Number 51-600, specifically for electronic records management services. By the end of the fiscal year, over 40 vendors were listed on the schedule and self-certified that they meet NARA's universal electronic records management requirements. In addition, NARA developed two sets of draft use cases; one for email and one for social media. NARA also completed a draft Electronic Records Management Federal Integrated Business Framework (ERM-FBIF).

Other selected milestones that NARA reached in records management in FY 2018 include:

In March, NARA released the [Success Criteria for Managing Permanent Records](). The guidance describes what agencies should consider from when managing their permanent electronic records and instructions for transitioning to managing all permanent electronic records in electronic format.

In August, NARA updated its [format guidance]() for the transfer of permanent records. An updated NARA Bulletin provided general guidance on formats and a specific update to the table of acceptable formats for the transfer of electronic records.

In September, NARA published the Essential Records Guide (August 2018), updating government-wide guidance on planning and preparation of agency essential records in the event of an emergency.

Records Scheduling and Appraisal

Capstone Approach — In FY 2018, NARA approved 52 disposition requests for email managed under a Capstone approach, bringing the total to 158. NARA's *General Records Schedule (GRS) 6.1, Email Managed under a Capstone Approach*, provides disposition authority for agencies implementing a Capstone approach to email management. An approved disposition authority is a critical component to successfully manage email in a Federal agency.

Records Scheduling Backlog Project — NARA defines its backlog of schedules as those that have been submitted more than two years prior. The current number of backlog schedules is 58 at the start of this fiscal year, a slight increase from last year's backlog of 39. NARA will continue to prioritize reducing the number of backlog schedules. In FY 2018, NARA closed 399 schedules, which was comparable to the number closed in FY 2017.

Other General Records Schedules — NARA issued GRS Transmittal 29 in December 2017, completing the comprehensive revision of the GRS as required by Goal C(2) in the *Managing Government Records Directive (OMB Memorandum M-12-18).*

Records Management Oversight and Reporting Federal Agency Records Management (FARM) 2017 Annual Report

This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA. In 2018, NARA required three related but separate submissions: a Senior Agency Official for Records Management (SAORM) Report, a Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA) covering activities in 2017. The report is posted to:
https://www.archives.gov/records-mgmt/resources/self-assessment.html

- *Senior Agency Official for Records Management (SAORM) Report* - This submission included responses from high-level officials about the progress of their agency or agencies towards the targets and requirements in the Managing Government Records Directive (M-12-18). For individual reports see: https://www.archives.gov/records-mgmt/resources/saorm-reports.

- *Federal Email Management Report* - This submission required agency records officers to assess their individual agency's email management using a maturity model template based on the criteria NARA published in April 2016. For individual reports see: https://www.archives.gov/records-mgmt/email-management/email-managementreports-2

- *Annual Records Management Self-Assessment (RMSA)* - Agency records officers provided an evaluation of their individual agency's compliance with Federal records management statutes, regulations and program functions. This report has been required since 2010. The individual scores are included as an appendix in the report here: https://www.archives.gov/records-mgmt/resources/self-assessment.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 2018, NARA completed inspections of the Department of Justice, National Guard Bureau, U.S. Customs and Border Protection, International Boundary and Water Commission, and Defense Technical Information Center. Other inspections started late in 2018 were completed in the first quarter of 2019 included the Department of Health and Human Services, Department of Housing and Urban Development, National Oceanic and Atmospheric Administration, US Geological Survey, and the Tennessee Valley Authority. (NARA's complete inspection reports for these and previous inspections are available at: https://www.archives.gov/records-mgmt/resources/rm-inspections).

- *Department Records Management Program Series* - From 2015 to 2018, NARA conducted a series of inspections of the records management programs for 11 of the 15 executive departments. The objective of this series of inspections was to determine if departments implement standards, policies, procedures, and other records management coordination practices to ensure that the department and its component agencies have effective records management programs. With the inspections of *Health and Human Services* and *Justice* conducted in FY 2018, the series has been completed and a comparative summary analysis report should be available later in FY 2019. For individual department results see the inspection reports posted to the website listed above.

- *Research and Development Records Series* - In FY 2018, NARA began a series of narrowly focused records management (RM) inspections investigating the management of research and development (R&D) or scientific records. The purpose of these inspections is to examine whether science centers comply with statutory mandates and

records management requirements. In FY 2018, we conducted inspections of the National Centers for Environmental Information of the National Oceanic and Atmospheric Administration*,* four science centers under the direction of the U.S. Geological Survey (USGS), a component of the Department of the Interior (DOI) and the Tennessee Valley Authority. In FY 2019 we plan to inspect R&D records at NASA and the Centers of Disease Control. For individual results see the inspection reports posted to the website listed above.

- *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 22 plans of corrective actions with 272 items. Of these, 142 items are currently open, 130 items are closed. There are five plans of corrective action under development and pending approval. Additionally, the plans of corrective action for the Office of the Secretary of Defense inspection conducted in 2010 and the Internal Revenue Service inspection conducted in 2015 are officially closed with all action items complete.

Records Management Assessments – An *Assessment* is an evaluation of a specific records management topic, issue or activity affecting records management processes, procedures and or policies. Assessments are conducted through on-site meetings, teleconferences, surveys, or any combination as necessary, in accordance with NARA's statutory authority to review agency records management programs (44 U.S.C. 2904(c)). *Assessments* are useful for both NARA and Federal agency records management programs to quickly assess records and information management practices and inform new ways of thinking about records management guidance, policy, training and tools.

- **Capstone Implementation** - NARA conducted an assessment of Capstone implementation on a select group of Federal agencies. The goal of the Capstone implementation assessment is to identify implementation progress, barriers encountered, and successes achieved, while providing a broad overview of federal agency experiences, best practices, and insight for other agencies dealing with similar challenges.

- **Records Management Training** - NARA conducted an assessment on records management training to measure compliance with 36 CFR 1220.34(f), Office of Management and Budget (OMB) Circular No. A-130: Managing Information as a Strategic Resources, and NARA Bulletin 2017-01: Agency Records Management Training Requirements, and to gather data on Federal agency implementation, best practices and insights regarding records management training.

Alleged Unauthorized Disposition of Federal Records

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

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

FY 2019 Open Cases - Unauthorized Disposition of Federal Records. This page includes all open cases by fiscal year and any cases that closed in FY 2019.

FY 2018 Closed Cases - Unauthorized Disposition of Federal Records. This page includes all unauthorized disposition cases that closed in FY 2018. For information on cases closed prior to FY 2017, see the Annual Performance and Accountability Report for the desired fiscal year.

Records Management Training

In FY 2018, the National Records Management Training (NRMT) program conducted 166 courses, including over 21 online courses, and trained over 3,400 individuals in records management policy and practices. Approximately 500 people completed two of the new self-paced eLearning courses, Federal Records Management and Your National Archives and GRS 6.1 Verification Form Requirements, Submission and Approval Process. NRMT awarded 382 Certificates in Federal Records Management Training.

The publication of the President's Management Agenda and NARA's Strategic Plan 2018-2022 served as the impetus for planning significant changes to how NARA approaches records management training. A new concept of operations for the training program was developed that includes making all training free, moving all training online, and only conducting formal courses for Agency Records Officers. Those changes will begin in FY 2019 with the goal of completing the transition to the new operating concept by the beginning of FY 2020.

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

Proposed Legislative Change

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

(a)   In subsection (a)(2) of section 2107, strike "the head of such agency has certified in

        writing to the Archivist" and substitute "the Archivist determines, after consulting with the

        head of such agency."

(b)   In subsection (d) of section 2904, strike the first instance of "digital or electronic".

(c)   In subsection (e) of section 3303a, strike "the written consent of" and substitute

        "advance notice to".

(d)   In section 3308, strike "empower" and substitute "direct".

Red-line and Section-by-Section Analysis

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

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

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