

National Archives and Records Administration

**FY 2017 ANNUAL PERFORMANCE PLAN and
FY 2015 ANNUAL PERFORMANCE REPORT**

Fiscal Year 2017 Budget Request

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NARA Mission, Vision, and Goals

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

VISION:

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

MISSION:

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

STRATEGIC GOALS:

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

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

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

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

The *President's Budget* identifies the lower-priority program activities as required by 31 U.S.C. 1115(b) (10). The public can access last year's volume at www.whitehouse.gov/omb/budget. NARA received no aid from non-Federal parties in preparing this plan.

Performance by Strategic Goal

Make Access Happen

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

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

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

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

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

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of artifacts described in the National Archives Catalog	<i>Target</i>	80	85	95	90	95	95
	<i>Actual</i>	88	95	95	97		
Percent of electronic archival holdings described in the National Archives Catalog	<i>Target</i>	80	85	85	90	95	95
	<i>Actual</i>	87	93	96	97		
Percent of traditional archival holdings described in the National Archives Catalog	<i>Target</i>	80	85	85	90	95	95
	<i>Actual</i>	81	83	86	90		

Performance summary: NARA met the FY 2015 description goal for traditional (non-electronic) archival records described in NAC, increasing descriptions to 90 percent. NARA’s goal is to have 95 percent of traditional archival holdings described by the end of FY 2016 and maintain that level throughout FY 2017. NARA has already exceeded its FY 2015 and FY 2016 targets for archival description of artifacts and electronic records.

In FY 2017, NARA will collaborate with selected agencies to prepare archival descriptions (metadata) for electronic records prior to their transfer to NARA. After transfer, NARA will use an automated review process to verify metadata, instead of creating new descriptions. If successful this new process is expected to accelerate archival processing and allow NARA to maintain description goals even as the volume of electronic records transferred grows exponentially.

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

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

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of archival holdings processed	<i>Target</i>	60	65	67	70	70	70
	<i>Actual</i>	60	65	68	72		

Performance summary: NARA exceeded its processing goal in FY 2015, finishing the year with 72 percent of the archival records processed up from 68 percent in FY 2014. NARA added more than 117,000 cubic feet of new, unprocessed records, processed nearly 151,000 cubic feet of records, and ended the year with slightly less than 1.3 million cubic feet of unprocessed records. NARA will continue to focus management attention on processing and seek ways to improve agency processes to expedite the release of archival records to the public.

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

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

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

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of traditional holdings digitized and made available online	<i>Target</i>	—	—	—	—	Baseline	TBD
	<i>Actual</i>	—	—	1.2			

Summary of performance: NARA currently provides online public access to digitized copies of over two million records through the NAC. In FY 2015, NARA established a Digitization Governance Board to prioritize projects for digitization by NARA’s in-house digitization labs, and has solicited project suggestions internally and from the public. NARA also initiated a number of pilot digitization projects to improve work processes and policies to facilitate the receipt of digital images from contributors for inclusion in the NAC.

NARA’s newly-formed Digitization Governance Board will develop out-year digitization targets in FY 2016. NARA will also establish technical guidance for metadata and new information systems to support the transfer of digital objects from agencies.

Connect with Customers

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

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

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

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

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

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of DD-214 / separation requests answered w/in 10 work days	<i>Target</i>	—	—	95	95	90	90
	<i>Actual</i>	92	95	94	93		
Percent of Federal agency reference requests ready within the promised time	<i>Target</i>	98	95	—	95	95	95
	<i>Actual</i>	95	95	92	97		
Percent of customers satisfied with military records received from NPRC	<i>Target</i>	88	90	87	88	88	88
	<i>Actual</i>	90	86	86	80		
Percent of FOIA requests for Federal records answered within 20 work days	<i>Target</i>	89	90	85	85	TBD	TBD
	<i>Actual</i>	84	83	77	78		
Percent of archival written requests answered within 10 work days (all NARA)	<i>Target</i>	—	—	—	80	80	80
	<i>Actual</i>	79	79	76	77		

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Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of non-archival written requests answered w/in 10 work days (all NARA)	<i>Target</i>	—	—	—	65	65	65
	<i>Actual</i>	74	67	65	58		
Percent of items furnished within agreed upon delivery time	<i>Target</i>	95	95	—	—	95	95
	<i>Actual</i>	98	98	97	96		

Performance Summary: NARA did not meet its timeliness goal for responding to military separation requests. The National Personnel Records Center (NPRC) receives approximately 2,250 requests for military separation records each day, and responded to 93 percent of those requests on time. NARA has reduced the target for future years to reflect fluctuations in staff and NARA efforts to increase the quality and accuracy of responses.

There was a six percent decline in customer satisfaction with the retrieval of military records from the NPRC. The decline in performance from FY 2014 is attributed to NARA's focus on accuracy and resolving the oldest and most complicated pending requests. This resulted in more accurate but less timely responses. In FY 2016, NARA will continue to aggressively reduce the request backlog with the expectation that this will have a positive impact on FY 2017 results.

NARA did not meet its target to answer Freedom of Information Act (FOIA) requests for Federal records in 20 working days in FY 2015, but agency performance improved from FY 2014 levels. NARA responds to FOIA requests for its own operational records as well as requests for access to NARA's holdings. The volume of FOIA requests received by NARA in FY 2014 and FY 2015 is nearly double the volume received in the previous two years with 22,000 FOIA requests received during FY 2015. A significant portion of the increase is attributable to FOIA requests from private sector companies seeking verification of military service to pursue Work Opportunity Tax Credits. NARA has identified several procedural improvements and expects performance to rebound during FY 2016 and stabilize in FY 2017.

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

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

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Number of public program attendees, excluding education	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	369K	470K	309K	386K		
Number of education program attendees	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	310K	324K	299K	549K		
Number of researcher visits	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	123K	114K	104K	86K		
Number of visits to NARA websites	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	44M	50M	57M	61M		
Number of physical visits to museums and exhibitions	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	3.1M	3.1M	3.3M	3.5M		

Performance summary: NARA expanded use of public participation and crowd-sourcing tools to improve public access and engagement. This year’s release of the National Archives catalog creates opportunities for the public to participate and directly engage with our records by contributing tags to records and assisting in transcribing digital images. In FY 2017, NARA will enhance digital access and identify opportunities for the public to participate in helping make more of the Federal government’s permanent records available through digital access.

Also, this year, NARA led an initiative focused on *creating a unified national outreach program that engages diverse audiences in learning about government records and inspires active participation in America’s democratic process*. This initiative strengthens both collaboration and coordination in education initiatives, exhibits, and public programming, bringing together the National Archives Museum, our Presidential Libraries, and our field offices in a nationwide program. In FY 2017, NARA will continue to deliver programs across the agency driven by common civic literacy and engagement goals. NARA will continue to monitor participation levels in agency public and education programs—both physical and online—to ensure that efforts to engage the public are realized.

NARA has made progress on its initiative to develop a *virtual regulatory environment to increase transparency and expand public participation in the Federal rule-making process*.

NARA's *Federal Register* is a daily publication that informs the public of Executive branch agency actions and gives the public the opportunity to comment on those actions. NARA is working in cooperation with EPA and GPO to improve the customers' experience. In FY 2017, NARA will work with GPO to update the electronic Code of Federal Regulations (eCFR) platform to increase customers' ease of use and provide additional capability where users can compare snapshots of the CFR at different points in time.

Maximize NARA's Value to the Nation

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

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

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

Performance Goal #1: By 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format

Description of measure: OMB Memorandum M-12-18, *Managing Government Records Directive*, requires agencies to manage email records electronically by December 31, 2016. NARA will develop criteria for agencies to determine whether they are managing their email electronically. NARA is developing metrics to report on the percent of agencies that expect to meet the criteria by the deadline and those that report they meet the criteria once the deadline is reached.

Performance summary: NARA has invested considerable effort towards meeting the M-12-18 goal to *stimulate investigation of applied research in automated technologies to reduce the burden of records management responsibilities*. NARA is developing an environment where Federal agencies have competitive options for commercial shared services that comply with Federal records management requirements and are consistent with NARA's archival business needs. In FY 2017, NARA's Records Management Line of Business (RM LOB) project office will work with agencies and the vendor community to develop minimum requirements for commercial or agency-supplied electronic records management services.

Performance Goal #2: By 2019, Federal agencies will manage all permanent electronic records in an electronic format

Description of measure: OMB Memorandum M-12-18 requires agencies to manage all permanent electronic records electronically by December 31, 2019. NARA is developing measures of the percent of agencies that expect to meet the criteria for managing their

permanent records in an electronic format. NARA currently measures risk to records management programs based on an evaluation of agency responses to the annual Records Management Self-Assessment (RMSA) survey.

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of agencies with “low risk” RMSA ratings	<i>Target</i>	—	—	>20	>29	>34	TBD
	<i>Actual</i>	10	20	29	34		

Performance summary: The percent of Federal agencies with records management programs rated as “low risk” continues to increase. NARA determines this rating based on the RMSA survey completed by agencies each year. NARA uses the survey results to identify agency records management programs that are low, medium, or high risk and understand what areas of government-wide records management need to be strengthened. As agencies continue to implement the requirements of M-12-18, NARA expects to see an increase in the percent of agencies whose records management programs are at low risk.

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

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

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

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

Performance summary: NARA’s primary initiative under this goal is to *provide direct access to record data in machine readable forms to allow efficient use of NARA data*. NARA supports the White House Digital Government Strategy that directs agencies to make high value data and content in customer-facing systems available through a web application programming interface (API). In FY 2015, NARA launched an API for the National Archives Catalog which will serve to extend online, archival content to other platforms and organizations, increasing access to NARA holdings. In FY 2017, NARA will continue to transform archival records series to open, digital formats and make them available for download through the National Archives Catalog.

Build our Future through our People

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

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

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

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

Description of measure: NARA promotes continuous learning by all employees – especially managers and supervisors – as a best practice for improving employee satisfaction and agency performance. NARA measures performance as the total number of managers and supervisors participating in leadership training programs as a percentage of the total number of NARA managers and supervisors. NARA measures participants’ level of satisfaction through course surveys.

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of managers and supervisors participating in leadership training programs	<i>Target</i>	—	—	—	Baseline	70	75
	<i>Actual</i>	—	—	—	TBD		
Percent of learning events receiving satisfactory rating from participants	<i>Target</i>	—	—	—	90	90	90
	<i>Actual</i>	—	—	—	90		

Performance summary: NARA’s initiative to *foster an employee development culture to promote learning and leadership by all* is building a strategic learning and development program focusing on leadership development, functional expertise, and career growth for all employees. In FY 2016 and FY 2017, NARA will implement “NARA University”, an online tool to deliver core professional development programs, as well as leadership and management training. NARA will develop tools to assist employees in creating their own learning and career development plans to include training, education, and on-the-job development mapped to core competencies and skill needs.

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

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

Performance Measure	Year	2012	2013	2014	2015	2016	2017
NARA FEVS scores on questions related to internal communications	<i>Target</i>	—	—	>49	>50	>50	>50
	<i>Actual</i>	49	50	50			
Communication effectiveness score from internal Customer Satisfaction Survey	<i>Target</i>	—	—	—	Baseline	67	70
	<i>Actual</i>	—	—	61	64		

Performance summary: NARA’s initiative to *cultivate a robust, well-connected internal communications environment to support informed action at all levels* focuses Management attention on employee engagement and information sharing. In FY 2015, NARA piloted a digital signage project to more effectively communicate a consistent message across the agency. NARA will fully implement digital signage across all NARA facilities in FY 2016. In FY 2016, NARA will provide policy, guidance, and training to reinforce the role of the supervisor as the first line of communication for employees. In FY 2017, NARA will provide mobile access to the Internal Collaboration Network (ICN), NARA’s social media application for employee communications through structured and unstructured conversations.

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

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

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

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

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Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent positive responses to FEVS questions related to diversity and inclusion	<i>Target</i>	—	—	—	56	>56	>56
	<i>Actual</i>	52	51	52	56		
Positive responses to FEVS question about opportunities to get a better job	<i>Target</i>	—	—	—	24	>29	>29
	<i>Actual</i>	25	24	24	29		
Percent of NARA positions filled in 80 days	<i>Target</i>	—	—	—	50	43	50
	<i>Actual</i>	—	—	42	45		

Performance summary: NARA met or exceeded its FY 2015 goals for employee empowerment and diversity, as measured by employee responses in the annual FEVS. NARA relies on OPM’s annual Federal Employee Viewpoint Survey (FEVS), to understand employee perceptions of the agency. In FY 2015, NARA realized increased positive responses over FY 2014 results in 90 percent of FEVS questions, and 35 percent of responses increased by five percentage points or more.

In FY 2015, NARA did not meet its goals for hiring process cycle time. Only 45 percent of NARA hiring actions were completed within OPM’s target of 80 days. In FY 2016, NARA will address known issues in the hiring process and improve communications from staffing personnel to hiring managers. NARA is taking coordinated actions in FY 2016 to resolve engagement, innovation, and empowerment gaps at all levels of the organization, strengthen employee performance management program, and promote agency wellness and work-life programs. .

Performance Highlights

The following table displays key measures and FY 2015 results by NARA organization.

	Researcher Visits	Written Requests	Public Program Attendees	Exhibit / Museum Visitors	Online Visits (millions)
National Archives at Atlanta, GA	3,040	1,866	3,327	0	--
National Archives at Boston, MA	1,333	1,960	778	0	--
National Archives at Chicago, IL	1,445	2,600	721	0	--
National Archives at College Park, MD	38,576	20,550	259	0	29.4
National Archives at Denver, CO	2,077	855	0	0	--
National Archives at Fort Worth, TX	3,157	1,844	9,630	0	--
National Archives at Kansas City, MO	2,204	3,528	5,192	2,068	--
National Archives at New York, NY	5,068	2,721	11,906	812	--
National Archives at Philadelphia, PA	361	933	2,854	21,842	--
National Archives at Riverside, CA	1,470	1,481	0	0	--
National Archives at St. Louis, MO	3,280	98,199	0	0	--
National Archives at San Francisco, CA	1,776	1,266	0	0	--
National Archives at Seattle, WA	1,639	1,221	1,012	0	--
National Archives in Washington, DC	9,837	6,567	44,478	1,329,757	0.8
National Personnel Records Center	--	1,086,529	--	--	--
Federal Register	--	1,559	0	--	463.7
Legislative Archives	--	666	--	--	--
Nationwide Records Mgmt Training	--	--	4,323	--	--
<i>Subtotal</i>	<i>75,263</i>	<i>1,234,345</i>	<i>84,480</i>	<i>1,354,479</i>	<i>493.9</i>
Herbert Hoover Presidential Library	404	906	8,024	41,818	0.2
Franklin D. Roosevelt Presidential Library	898	2,109	30,112	191,750	0.9
Harry S. Truman Presidential Library	536	2,189	38,138	70,967	3.0
Dwight D. Eisenhower Presidential Library	1,185	2,966	21,026	182,621	1.3
John F. Kennedy Presidential Library	1,112	5,194	51,062	192,243	5.2
Lyndon Johnson Presidential Library	1,657	2,596	21,009	173,815	2.3
Richard Nixon Presidential Library	1,311	1,587	16,916	83,373	11.1
Gerald Ford Presidential Library	674	719	21,308	175,220	1.6
Jimmy Carter Presidential Library	682	707	9,519	54,462	0.9
Ronald Reagan Presidential Library	857	508	73,756	341,216	2.2
George Bush Presidential Library	634	1,519	352,308	146,815	0.4
William J. Clinton Presidential Library	290	1,443	241,158	210,245	0.9
George W. Bush Presidential Library	76	352	3,294	300,333	1.7
<i>Subtotal, Presidential Libraries</i>	<i>10,316</i>	<i>22,795</i>	<i>887,630</i>	<i>2,164,878</i>	<i>31.7</i>
GRAND TOTAL	85,579	1,257,140	972,110	3,519,357	525.6

Federal Records Management Programs

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

Managing Government Records Directive / Policy and Guidance

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

Agencies are making progress towards meeting the M-12-18 goal of addressing the management of all email in an accessible format by the end of 2016. Email management has become a visible, important priority for agencies. Senior Agency Officials (SAOs) for records management have held awareness briefings with agency heads on the importance of properly managing email in personal accounts. Agencies are also working to improve records management training, especially ensuring that all agency Records Officers have been through NARA's records management certification training program.

Other selected milestones that NARA reached in records management throughout FY 2015 include:

- *NARA Bulletin 2015-04, Metadata Guidance for the Transfer of Permanent Electronic Records (September 2015).*—This Bulletin defines the minimum set of metadata elements that must accompany transfers of permanent electronic records to the National Archives.
- *NARA Bulletin 2015-03, Guidance on Managing Digital Identity Authentication Records (August 2015).*—This Bulletin provides guidance to agencies on managing digital identity authentication related transactional records, such as digital certificates and Public Key Infrastructure (PKI) files, created or used in the course of agency business.
- *NARA Bulletin 2015-02, Guidance on Managing Electronic Messages (July 2015).*—This Bulletin applies to text messaging, chat/instant messaging, messaging functionality in social media tools or apps, voice messaging, and similar forms of electronic messaging systems.
- *NARA Bulletin 2015-01, Scheduling Guidance on the Appropriate Age for Legal Transfer of Permanent Records to the National Archives of the United States (June 2015).*—This Bulletin clarifies the appropriate age at which permanent records, regardless of their media or format, should be transferred into NARA's legal custody.

- *OPM Released Final Records Management Occupation Flysheet (April 2015).*—OPM created a new occupational series for records and information management, to elevate the roles, responsibilities, and skill sets for agency records officers and other records and information professionals. The task of establishing the occupational series was an important target in M-12-18.
- *Records Management Maturity Model (April 2015).*—NARA and the Federal Records Council identified the Records Management Maturity Model as a government-wide analytical tool to help agencies evaluate the effectiveness of their records programs, as required by M-12-18.
- *Open Source Tools for Records Management (March 2015).*—NARA identified open source tools that could be used for records management tasks, to further the objective of M-12-18, which encourages NARA, agencies, and stakeholders to investigate and stimulate applied research in automated technologies to reduce the burden of records management responsibilities in agencies.

Records Scheduling and Appraisal

- *Capstone Approach.*—In FY 2015, NARA issued General Records Schedule (GRS) 6.1, Email Managed under a Capstone Approach, to provide disposition authority for agencies implementing a Capstone approach to email management. The Capstone Approach – established in NARA Bulletin 2013-02, *Guidance on a New Approach to Managing Email Records* – allows agencies to manage email records as a single records series with disposition instructions generally applied at the account level based on role or position. The new GRS supports NARA’s oversight responsibilities by reducing subjectivity and increasing consistency in the determination of Capstone officials. The GRS also establishes a baseline understanding of roles and disposition of email across the government and reduces the risk of improper implementation. An external training module for Federal agencies on this GRS was released in October 2015.
- *Other General Records Schedules.*—NARA also issued GRS Transmittal 24, which included five new GRS, and GRS Transmittal 25, which added the GRS for email managed under Capstone approach. The transmittals also included general FAQs, schedule specific FAQs, and an implementation guide.
- *Records Scheduling Backlog Project.*—NARA has focused resources on reducing record schedules that have been submitted more than two years prior (“backlog schedules”). Current backlog numbers were down to less than 60 at the start of the fiscal year. In FY 2016, NARA will complete a pilot project testing expedited scheduling for clearly temporary records, based on the low potential research and other value of these records.

Records Management Oversight

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

In FY 2015, NARA issued the RMSA to 266 Federal agencies to report on records management activities occurring or completed in FY 2014. The resulting RMSA 2014 report, released on November 6, 2015, identified gradual improvement in RMSA scores across Federal agencies, which reflects an increasing understanding within agencies of the importance of recordkeeping requirements. NARA RMSA reports can be found at <http://www.archives.gov/records-mgmt/resources/self-assessment.html>.

- *Records Management Inspections.*—NARA inspects the records management programs of Federal agencies for under the authority of 44 U.S.C 2904(c) (7) and 2906. In FY 2015, NARA completed inspections of the Internal Revenue Service, the Department of Energy, and the Department of the Treasury. Highlights and summaries are provided below. (NARA's complete inspection reports for these and previous inspections are available at: <http://www.archives.gov/records-mgmt/resources/inspections.html>). NARA also started a fourth inspection of the Department of the Navy to be completed in FY 2016.
 - Internal Revenue Service. The Consolidated and Further Continuing Appropriations Act of 2015 directed NARA to conduct an inspection of the Internal Revenue Service's (IRS) compliance with the Federal Record Act, during calendar years 2009 through 2013. In addition to the parameters specified by Congress, NARA also examined IRS policies and procedures pertaining to the management of email; electronic records; records scheduling and implementation; and the identification, risk assessment, and transfer of permanent records. The inspection has since been completed and the report has been published to NARA's website.
 - Department of Energy. NARA examined the methods the Department of Energy (DOE) and its component agencies use to plan, communicate, and implement effective records management practices. NARA examined DOE controls to mitigate the risks to its records and to ensure that agency policies and procedures are implemented. DOE is a large, complex department, whose records are essential for government accountability for nuclear weapons safety, scientific research and development, and for overseeing the Nation's energy programs; therefore there is high public interest in the agency and the records it creates. The inspection has been completed and the report has been published to NARA's website.

- Department of the Treasury. NARA examined the methods the Treasury Department and its component agencies develop and implement records management practices . NARA focused specifically on the records management policies, procedures, and practices at the Department level and their impact on component agencies. The Department of Treasury enhances national security by implementing economic sanctions against foreign threats to the United States, identifying and targeting the financial support networks of national security threats, and improving the safeguards of our financial systems; therefore, there is high public interest in the Department and the records it creates. The inspection report is being drafted and should be published early in calendar year 2016.
- *Monitoring and follow-up.*—After all inspections, NARA works agencies to prepare corrective action plans with measurable milestones. NARA monitors progress against agency plans until all actions are completed. NARA is currently monitoring a combined total of 105 action items in corrective action plans for National Geospatial-Intelligence Agency (NGA); Office of the Secretary of Defense (OSD); Department of Homeland Security’s Citizenship and Immigration Services (USCIS) and Immigration Customs Enforcement (ICE) bureaus; National Nuclear Security Administration (NNSA); Nuclear Regulatory Commission (NRC), and the Internal Revenue Service (IRS). NARA is also assisting the National Transportation Safety Board (NTSB) with the creation of their corrective action plan and will begin monitoring progress in FY 2016.

Records Management Training

In FY 2015, NARA conducted 211 records management training courses including 40 online sessions and trained over 4,900 individuals in records management policy and practices. NARA’s National Records Management Training program awarded 559 Certificates in Federal Records Management Training to Federal agency customers.

In FY 2015, NARA and the Federal Records Officer Network jointly developed an eLearning course titled “Records Management 101” to meet M-12-18 goals. Additionally, NARA developed eLearning courses for the Consumer Finance Protection Bureau, supported the Records and Information Management Training Program at Haskell University, published videos to help agencies learn to use the Electronic Records Archive, published new videos of “The Case for Records Management: Issues for Federal Agency Counsel,” and updated course materials for the Knowledge Area 1-6 courses.

Also in FY 2015, NARA began a series of projects to continue modernization of the training program, including: collecting training needs from other agencies’ personnel that perform records management; 2categorizing learning content based on the type of knowledge (fact, concept, process, principle, procedure); and analyzing data from the past three years of course evaluations to identify trends. All three of projects will feed into a major curriculum redesign that will begin in FY 2016.

Alleged Unauthorized Disposition of Federal Records

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

Of the 52 cases open at the end of FY 2015, four cases are involved in ongoing litigation and three cases are under investigation by the agency. The remaining 45 cases open at the end of FY 2015 are listed in Table 1, below. Table 2 lists the 16 cases that were closed in FY 2015.

Table 1: Open cases pending agency action or NARA review

Department or Agency	Opened	Records	Status
Agriculture	Aug. 2015	U.S. Forest Service Wilderness maps	Pending NARA review
Army, Office of Deputy Chief of Staff for Operations and Plans	Aug. 1998	Records of action officers	Pending agency response or follow-up
Consumer Product Safety Commission	June 2015	Employee text messages	Pending agency response or follow-up
Defense, DoD Inspector General	June 2015	Records relating to investigation of whistleblower	Pending NARA review
Defense, Joint Staff	Dec. 2011	Emails of Lt. General Stanley McChrystal	Pending agency response or follow-up
	Sept. 2015	NORTHCOM email	Pending NARA review
Defense, National Geospatial-Intelligence Agency	May 2015	Executive Office records	Pending agency response or follow-up
Defense, Office of Secretary of Defense	Dec. 2008	Documents relating to torture issue	Pending agency response or follow-up
	Nov. 2009	E-mail and electronic records of Coalition Provisional Authority, Iraq	Pending NARA review
Energy	Dec. 2010	Oil shale research records	Pending NARA review
	April 2011	Records relating to Yucca Mountain site	Pending agency response or follow-up
	Sept. 2012	Use of personal email for official business	Pending agency response or follow-up
Energy	Aug. 2014	NNSA Los Alamos National Laboratory records	Pending agency response or follow-up

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Department or Agency	Opened	Records	Status
Environmental Protection Agency	Aug. 2015	Email in personal account of former employee	Pending agency response or follow-up
General Services Administration	Sept. 2015	Email and voicemail about Army Childcare Subsidy Program	Pending agency response or follow-up
Homeland Security	April 2011	Water-damaged records of Office of Intelligence & Analysis	Pending agency response or follow-up
	April 2011	FEMA Remedial Action Management Program records	Pending agency response or follow-up
	Oct. 2012	Emails relating to FEMA grant funds	Pending agency response or follow-up
	March 2015	U.S. Secret Service Surveillance video	Pending agency response or follow-up
Interior	April 1999	Office of the Solicitor, Indian trust account records *	Pending NARA review
	March 2010	Office of Special Trustee for American Indians records at agency locations in western U. S.	Pending agency response or follow-up
	March 2015	Office of Special Trustee for American Indians real estate appraisal case file	Pending NARA review
	June 2015	Loss of email due to software deficiency	Pending agency response or follow-up
Justice	July 1999	Executive Office of U.S. Attorneys records relating to case Harry C. Piper III v. Dept. of Justice *	Pending NARA review
	Feb. 2014	FBI unspecified case files	Pending agency response or follow-up
Merit Systems Protection Board	July 2015	Electronic records in internal computer system	Pending agency response or follow-up
Navy	Aug. 2006	USMC Records relating to 2005 incident in Haditha, Iraq	Pending NARA review

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Department or Agency	Opened	Records	Status
Navy	Dec. 2011	USMC interrogations relating to 2005 incident in Haditha, Iraq	Pending NARA review
	July 2013	Ship plans and blueprints	Pending agency response or follow-up
	Mar. 2015	Submarine reports	Pending NARA review
Office of Personnel Management	Oct. 2011	Electronic records relating to USA Staffing system	Pending NARA Review
Peace Corps	Feb. 2013	High-level officials' daily activity schedules	Pending agency response or follow-up
Railroad Retirement Board	June 2015	Electronic records in IronKey devices	Pending NARA review
State	Mar. 2015	Emails of Secretary Hillary Clinton	Pending agency response or follow-up
	June 2015	Microfilm of passport index	Pending NARA review
	Sept. 2015	Records at Embassy in Tokyo, Japan	Pending agency response or follow-up
Treasury	Dec. 1999	Indian trust account records*	Pending NARA review
	Feb. 2001	Indian trust account records at Denver, CO Federal Reserve Bank *	Pending NARA review
	Sept. 2014	IRS Form 3413 Transfer Requests	Pending NARA review
U.S. Agency for International Development	May 2015	Emails at ca. 20 overseas missions	Pending agency response or follow-up
	July 2015	Electronic records of Haiti Mission	Pending agency response or follow-up
U.S. Chemical Safety and Hazard Investigation Board	Mar. 2015	Use of non-government email for official business	Pending NARA review
Veterans Affairs	June 2013	Loan and grant files	Pending NARA review
	May 2015	Hospital patient records in Long Beach, California	Pending NARA review
	June 2015	Loan guaranty files at Cleveland Regional Office	Pending agency response or follow-up

* Indicates cases that were not listed in previous years' reports because they were in litigation.

Table 2: Cases closed in FY 2015

Department or Agency	Opened	Records	Resolution
Army	Jan. 2015	Files in Army Electronic Archive (AEA)	Allegation founded – corrective action taken
Defense	May 2008	DIA video recordings of interrogations of terrorism suspect	Allegation founded – corrective action taken
	Sept. 2012	U.S. Central Command records of fuel supply and delivery in Afghanistan	Allegation founded – corrective action taken
	Sept. 2014	Records of former NDU President	Allegation not founded
Environmental Protection Agency	June 2014	Region 10 email relating to Bristol Bay, Alaska, matter	Allegation founded – corrective action taken
	Oct. 2014	Administrator’s text messages	Allegation not founded
	Nov. 2014	Inspection enforcement notebook	Allegation founded – corrective action taken
Health and Human Services	Feb. 2011	Emails of Secretary Kathleen Sebelius *	Allegation not founded
	Jan 2015	Photographs of Secretary Tommy Thompson	Allegation founded – corrective action taken
Homeland Security	Sept. 2014	Surveillance video of FEMA facility	Allegation not founded
	Sept. 2014	FEMA surveillance video and employee’s email	Allegation not founded
Interior	Jan. 2014	USGS records at Astrogeology Science Center, Flagstaff, Arizona	Allegation not founded
Justice	July 2008	Copies of intern applicant files *	Allegation not founded
Labor	Dec. 2014	MSHA abandoned mine maps	Allegation not founded
Library of Congress	Oct. 2014	Non-occupational health record files	Allegation founded – corrective action taken
Peace Corps	June 2015	Records requested from Washington National Records Center	Allegation founded – corrective action taken

* Indicates cases that were not listed in previous years’ reports because they were in litigation.

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