



NATIONAL  
ARCHIVES

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

**Submitted to Congress  
February 2, 2015**

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

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## PREFACE

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

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 We fund grants to increase access to the nation's historical documents.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

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

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

*Mission:*

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

*Vision:*

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

*Our Strategic Goals:*

Make Access Happen

Connect With Customers

Maximize NARA's Value to the Nation

Build Our Future Through Our People

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

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

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

This is a high-level summary of our resource requirements. The numbers are linked to strategic goals in the pages that follow.

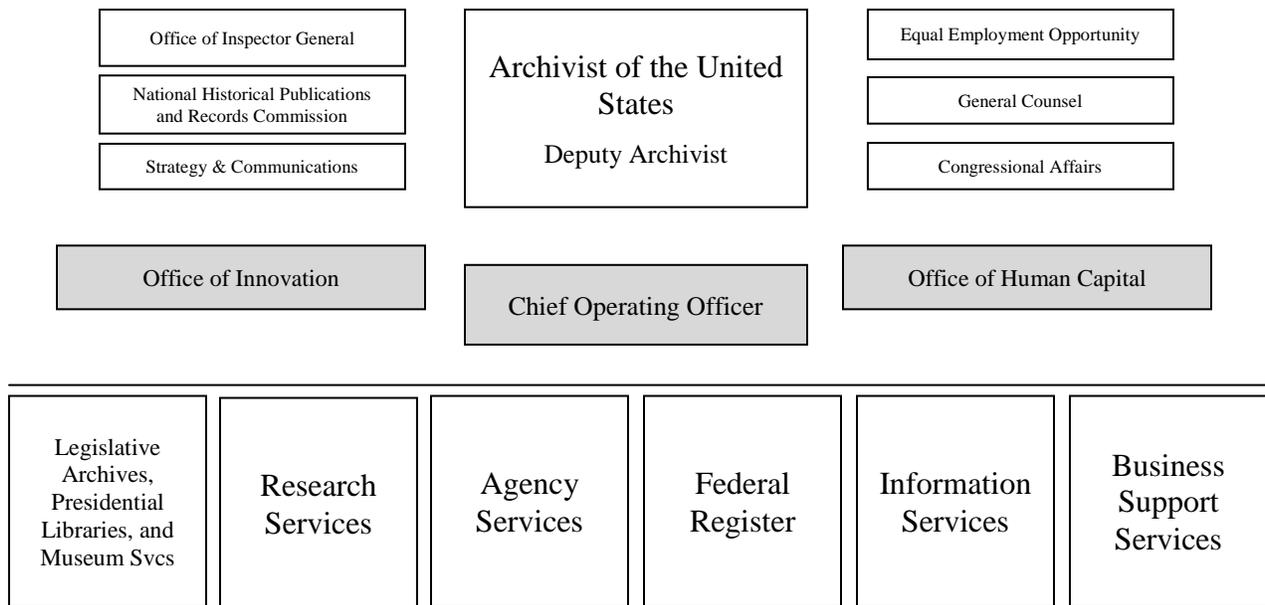
We continue using four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits and evaluations of operations, (3) expansion and refinement of our performance measurement system, and (4) systematic sampling of measurement system effectiveness. Our agency-wide Performance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

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

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

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

### National Archives and Records Administration



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

## Annual Performance Report and Performance Plan

### Measuring and Reporting Our Performance

#### FY 2014 Performance by Strategic Goal

 NATIONAL ARCHIVES	Strategic Goal <b>MAKE ACCESS HAPPEN</b>
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*Make Access Happen* establishes “public access” as NARA’s core purpose. *Make Access Happen* states that public access is the ultimate outcome of all of our work. *Make Access Happen* also signals a significant shift in strategy and purpose: We will reach beyond the traditional role of making records available for others to discover, and will *make access happen* by providing flexible tools and accessible resources that promote public participation.

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

<b>Objective:</b>	<b>Make all records available to the public in digital form to ensure that anyone can explore, discover, and learn from NARA holdings</b>						
<i>Goal Leader: Office of Innovation</i>							
Performance Goal: By 2016, 95 percent of NARA’s holdings are described in an online catalog.							
<b>Performance Measure</b>	<b>Year</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>
Percent of artifacts described in an online catalog	<i>Target</i>	75	80	85	95	90	95
	<i>Actual</i>	78	88	95	95		
	<i>Status</i>				Met	—	—
Percent of electronic archival holdings described in an online catalog	<i>Target</i>	75	80	85	85	90	95
	<i>Actual</i>	96	87	93	95		
	<i>Status</i>				Met	—	—
Percent of traditional archival holdings described in an online catalog	<i>Target</i>	75	80	85	85	90	95
	<i>Actual</i>	74	81	83	85		
	<i>Status</i>				Met	—	—
Performance Goal: By 2018, Increase the percentage of our holdings processed.							
<b>Performance Measure</b>	<b>Year</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>
Percent of archival holdings processed	<i>Target</i>	55	60	65	67	70	70
	<i>Actual</i>	53	60	65	68		
	<i>Status</i>				Met	—	—
Performance Goal: Increase the percentage of our holdings available online.							

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

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

## Analysis and Future Plans

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

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

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

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

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

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

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



Strategic Goal  
**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 will continuously engage with and learn from our customers—individuals, organizations, and other Federal agencies. We will build long-term, positive, effective relationships, and provide a consistent customer experience across programs, platforms and locations. We will be an exemplary culture of open government.

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

<b>Objective:</b>	<b>Improve internal and external customer engagement to cultivate and sustain public participation.</b>						
<i>Goal Leader: Research Services</i>							
Performance Goal: Increase customer satisfaction and promote positive experiences by making processes more efficient.							
<i>Performance Measure</i>	<i>Year</i>	<i>2011</i>	<i>2012</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>
Percent of DD-214/separation requests answered within 10 working days	<i>Target</i>	—	—	—	95		
	<i>Actual</i>	93	92	95	94		
	<i>Status</i>				Not Met	—	—
Percent of customers satisfied with retrieving military records from NPRC	<i>Target</i>	88	88	90	87	88	88
	<i>Actual</i>	92	90	86	86		
	<i>Status</i>				Not Met	—	—
Percent of Freedom of Information Act requests for Federal records answered within 20 working days	<i>Target</i>	88	89	90	85		
	<i>Actual</i>	89	83	83	79		
	<i>Status</i>				Not Met	—	—
Number of FederalRegister.gov “MyFR accounts” created	<i>Target</i>	—	—	—	Baseline	35,000	
	<i>Actual</i>	—	—	19,331	30,688		
	<i>Status</i>					—	—
Percent of customers satisfied with NARA scheduling and appraisal services	<i>Target</i>	—	—	—	Baseline	—	TBD
	<i>Actual</i>	—	60	—	89		
	<i>Status</i>				—		
Performance Goal: Promote collaboration and participation among NARA’s stakeholders and customer groups.							

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

## Analysis and Future Plans

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

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

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

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

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

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

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

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

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

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

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



Strategic Goal  
**MAXIMIZE NARA’S VALUE TO THE NATION**

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

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

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

Performance Goals:

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

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

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

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

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

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

## Analysis and Future Plans

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

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

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

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

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



Strategic Goal

**BUILD OUR FUTURE THROUGH OUR PEOPLE**

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

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

<b>Objective:</b>		<b>Create and sustain a culture of empowerment, openness, and inclusion.</b>					
		<i>Goal Leader: Office of Human Capital</i>					
Performance Goal: Expand and enhance communication activities to effectively inform NARA’s workforce.							
<i>Performance Measure</i>	<i>Year</i>	<i>2011</i>	<i>2012</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>
Improve NARA’s average score on EVS questions about empowerment, openness, and inclusion	<i>Target</i>	—	—	—	>51		
	<i>Actual</i>	—	—	—	52		
	<i>Status</i>				Met		
Improve NARA scores on EVS questions about internal communications	<i>Target</i>	—	—	—	>49	>50	TBD
	<i>Actual</i>	52	49	50	50		
	<i>Status</i>				Met		
Communication effectiveness score from Internal Services Satisfaction Survey	<i>Target</i>	—	—	—	Baseline		
	<i>Actual</i>	—	—	—	67		
	<i>Status</i>				—		
<b>Objective:</b>		<b>Ensure we have a diverse workforce with skills necessary to fulfill our mission.</b>					
		<i>Goal Leader: Office of Human Capital</i>					
Performance Goal: Improve the quality and speed of the hiring process.							
<i>Performance Measure</i>	<i>Year</i>	<i>2011</i>	<i>2012</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>
Improve NARA’s average score on the EVS questions about workforce diversity	<i>Target</i>	62	65	65	>55	>56	TBD
	<i>Actual</i>	56	55	55	56		
	<i>Status</i>				Met		
Increase the percent of NARA positions filled in 80 days.	<i>Target</i>	—	—	40	45	50	>50
	<i>Actual</i>	—	—	68	42		
	<i>Status</i>				Not Met		

## Analysis and Future Plans

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

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

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

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

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

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

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

## **Federal Records Management Evaluations**

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

### ***Managing Government Records Directive***

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

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

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

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

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

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

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

#### **Social Media Bulletin 2014-02 (October 25, 2013)**

NARA released a new Bulletin called "Guidance on Managing Social Media Records." This Bulletin provided high-level recordkeeping requirements and best practices for capturing records created when Federal agencies use social media.

#### **Transfer Bulletin 2014-05 (January 31, 2014)**

NARA released a new Bulletin called "Revised Format Guidance for the Transfer of Permanent Electronic Records." NARA produced this Bulletin after extensive review of requirements for

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

### **Mobility Blog Posts (March 2014)**

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

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

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

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

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

### **Records Management Maturity Model**

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

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

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

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

### **General Records Schedules (GRS)**

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

### **Senior Agency Official (SAO) for Records Management Engagement**

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

### **SAO Reporting and NARA Analysis**

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

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

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

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

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

### ***Records Management Oversight***

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

### ***Agency Records Management Self-Assessments***

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

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

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

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

### ***Records Management Inspections***

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

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

<http://www.archives.gov/records-mgmt/resources/inspections.html>.

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

### ***Records Management Inspections***

#### ***Nuclear Regulatory Commission***

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

#### ***Securities and Exchange Commission***

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

#### ***National Transportation Safety Board***

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

#### ***Records Management Training for Federal Agencies***

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

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

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

### ***Records Scheduling Backlog Project***

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

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

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

### ***Alleged Unauthorized Disposition of Federal Records***

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

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

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

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

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

**Table 1: Open cases pending agency action or NARA review**

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

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

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

**Table 2: Cases closed in FY 2014**

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

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

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

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