

National Archives and Records Administration

**FY 2019 ANNUAL PERFORMANCE PLAN and
FY 2017 ANNUAL PERFORMANCE REPORT**

Fiscal Year 2019 Budget Request

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NARA Mission, Vision, and Goals

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

VISION:

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

MISSION:

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

STRATEGIC GOALS:

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

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

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

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

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

Performance by Strategic Goal

Make Access Happen

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

Objective: *By FY 2021, 82 percent of NARA holdings will be processed to enable discovery and access by the public.*

Description of measure: Archival processing refers to those actions NARA must take in order to provide efficient access for researchers and members of the public, including: cataloging and description, basic preservation, and adding the records to NARA’s inventory control system. 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	2014	2015	2016	2017	2018	2019
Percent of archival holdings processed	<i>Target</i>	67%	70%	>72%	78%	79%	80%
	<i>Actual</i>	68%	72%	74%	78%		
Total number of archival holdings processed	<i>Target</i>	—	—	—	—	—	—
	<i>Actual</i>	3.4M	3.5M	3.8M	4.3M		

Performance summary: Following an FY 2017 study, NARA established new processing standards to improve our efficiency in processing records. These guidelines provide a valuable benchmark for planning, and NARA will continue to monitor and refine processing rates in FY 2018 and FY 2019.

In FY 2018, NARA will incorporate the new processing standards into agency annual work planning and reporting processes. NARA will also deploy a new tool for tracking processing projects in FY 2018; this tool should greatly enhance and simplify the way that staff track the steps that comprise basic processing. NARA’s goal is to complete basic processing within 12 to 18 months of receiving a new transfer of records to NARA’s legal custody.

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

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

Performance Measure	Year	2014	2015	2016	2017	2018	2019
Number of pages digitized and made available online through the Catalog	<i>Target</i>	—	—	Baseline	40M	65M	90M
	<i>Actual</i>	—	—	16.5M	36.5M		

Performance Summary: Throughout FY 2018 and FY 2019, NARA will complete necessary improvements to the underlying information technology (IT) systems – the Descriptions and Authority Service and the National Archives Catalog – to ensure that 500M pages can be adequately stored, indexed, and accessed via the Catalog. In addition, we will further enhance digitization policy, improve NARA digitization processes, deploy digitization pilot projects, and establish a contract vehicle to support digitization efforts.

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

Description of measure: Archival descriptions in the National Archives Catalog provide the public with free, online access to records so that researchers can search NARA holdings remotely, discover relevant records, and quickly retrieve records when they visit NARA public research rooms. NARA measures performance as the number of records series or groups referenced by websites, apps, or other digital tools that draw from the Catalog, as a percentage of the total records and artifacts described in the Catalog at the start of the fiscal year.

Performance Measure	Year	2014	2015	2016	2017	2018	2019
Percent of our holdings referenced in finding aids that draw from the Catalog	<i>Target</i>	—	—	—	—	1%	5%
	<i>Actual</i>				Baseline		

Performance summary: In FY 2018 and FY 2019, NARA will: (1) enhance the Catalog's Application Programming Interface (API) to support development of dynamic finding aids; (2) develop templates for Catalog-based finding aids for use by NARA staff on archives.gov; and (3) develop user-generated finding aid functionality in the Catalog.

Connect with Customers

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

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

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

Performance Measure	Year	2014	2015	2016	2017	2018	2019
Percent of customer requests ready within the promised time	<i>Target</i>	—	—	93%	93%	93%	93%
	<i>Actual</i>	—	—	95%	92%		

Performance summary: NARA's is committed to provide excellent reference services and timely responses to customer requests. In FY 2018 and FY 2019, NARA will revise customer service standards to ensure efficient and timely responses. NARA plans to make some refinements to the process of answering inquiries which will increase the speed and accuracy of the response. NARA will continue to ensure customer satisfaction by providing one-hour turnaround time to in-person requests and responding to written reference requests within ten days.

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

Description of measure: NARA engages with stakeholders through public 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	2014	2015	2016	2017	2018	2019
Percent satisfaction from participants in public engagement activities	<i>Target</i>	—	—	90%	90%	90%	90%
	<i>Actual</i>	—	—	—	Baseline		

Performance summary: Throughout FY 2018 and FY 2019, NARA will continue to deliver programs across the agency driven by common civic literacy and engagement goals. NARA will monitor participation levels in agency public and education programs—both physical and online—to ensure that efforts to engage the public are effective.

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

Description of measure: NARA engages with the public in many ways. Through crowdsourcing and other activities, citizens enhance access to our records through transcribing, tagging, and scanning. NARA measures customer engagement, in part, by counting the number of records enhanced by citizen contributions, including “tagging” to improve searchability and transcription.

Performance Measure	Year	2014	2015	2016	2017	2018	2019
Cumulative number of records enhanced by citizen contributors	<i>Target</i>	—	—	—	—	100K	200K
	<i>Actual</i>	—	—	—	Baseline		

Performance summary: In FY 2018 and FY 2019, NARA will enhance the National Archives Catalog to improve the user experience for citizen archivists, and expand its outreach and marketing efforts for the citizen archivist program. NARA will enhance the Catalog API to make it easier for third parties to develop Catalog-based tools to enhance records.

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

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

Performance summary: NARA is still developing milestones and targets for this measure.

Maximize NARA’s Value to the Nation

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

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

Description of measure: NARA conducts on-site inspections of other agencies’ records management practices to help those agencies strengthen their recordkeeping programs and ensure that records are being managed appropriately. NARA conducts inspections according to established procedures, publishes findings and recommendations in written reports, and requires agencies to respond with corrective actions that are tracked through completion. NARA measures performance as the count of inspection reports published in a fiscal year, as a percentage of the total number of agencies required to complete the annual Records Management Self-Assessment (RMSA) survey. In FY 2017, 260 agencies received the RMSA.

Performance Measure	Year	2014	2015	2016	2017	2018	2019
Percent of Federal agencies inspected	<i>Target</i>	—	—	—	—	10%	10%
	<i>Actual</i>	—	—	—	3%*		

Performance summary: In FY 2018, NARA anticipates completing 13 formal agency inspections. In FY 2019, NARA will begin conducting electronic information system audits of agency email and electronic records systems, which will contribute to the 10 percent target.

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

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

Performance summary: NARA is still developing milestones and targets for this measure.

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

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

Performance Measure	Year	2014	2015	2016	2017	2018	2019
Number of platforms that use NARA records as part of their business model	<i>Target</i>	—	—	—	—	4	5
	<i>Actual</i>	—	—	—	Baseline		

Performance summary: Throughout FY 2018 and FY 2019, NARA will enhance the National Archives Catalog Application Programming Interface (API), provide better documentation of the Catalog API to the public, and promote the Catalog API in the developer, researcher, and academic communities.

Build our Future through our People

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

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

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

Performance Measure	Year	2014	2015	2016	2017	2018	2019
Percent of staff who participated in a leadership development activity	<i>Target</i>	—	—	—	Baseline	35%	37.5%
	<i>Actual</i>	—	—	—	32.5%		

Performance summary: In FY 2018, NARA will deploy a completely redesigned introductory management training and develop new manager refresher training for deployment in FY 2019. NARA will also leverage external vendors to provide leadership training for more of our employees. We will also offer cross training opportunities at headquarters and our field locations to provide employees with experiential training and actively apply what they learn in the classroom.

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

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

Performance Measure	Year	2014	2015	2016	2017	2018	2019
Percent of NARA positions filled within 80 days	<i>Target</i>	—	—	45%	55%	65%	75%
	<i>Actual</i>	42%	45%	53%	40%		

Performance summary: NARA has identified a series of process improvement and corrective actions that will improve the timeliness, accuracy, and transparency of our HR transactional processes. We will improve tracking of hiring actions to ensure accountability and address bottlenecks so we can recruit and hire the best talent as quickly and effectively as possible.

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

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

Performance Measure	Year	2014	2015	2016	2017	2018	2019
Percent of NARA positions with career paths	<i>Target</i>	—	—	—	35%	48%	90%
	<i>Actual</i>	—	—	15%	36%		

Performance summary: In FY 2018, NARA will implement changes in its personnel management system that permit position management. NARA will populate the system data from approved staffing plans articulating the number and type of positions and grade levels available. NARA will be able to more effectively track, manage, and report newly-defined positions and organizational structures as new career paths are developed.

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

Description of measure: NARA must ensure employees are prepared to transition to a fully electronic environment and are prepared to support other agencies with new tools, guidance, and expertise. NARA must provide a robust career development program consisting of training and experiential learning that allows all employees to identify and plan for career growth opportunities and develop competencies. NARA is currently developing new metrics that quantify training program outcomes; until those metrics are developed we will measure performance through “milestone” goals. NARA milestone goals for this objective are currently under development

Performance summary: NARA is still developing milestones and targets for this measure.

FY 2017 Discontinued Measures (Performance measures aligned to NARA’s FY 2014 – 2018 Strategic Plan)

The following performance measures from NARA’s FY 2017 Annual Performance Plan are being discontinued as targeted performance measures. Those performance measures from FY 2017 that align with the objectives in NARA’s new FY 2018 – 2022 Strategic Plan are carried forward in the goals and targets for FY 2018 and FY 2019.

Make Access Happen

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%	96%	97%	96%	99%
Percent of electronic archival holdings described in the National Archives Catalog	<i>Target</i>	80%	85%	85%	90%	95%	95%
	<i>Actual</i>	100%	100%	100%	100%	100%	100%
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%	97%	97%

Performance Summary: NARA met the FY 2017 description goal of 95 percent described in the National Archives Catalog for all categories: traditional records, electronic records, and artifacts. NARA exceeded the goal for all three categories. Although no longer reported externally, NARA’s goal is to maintain a 95 percent description rate.

Connect with Customers (several of these measures are no longer reported individually but are aggregated in NARA’s public engagement measure).

Maximize NARA's Value to the Nation

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of agencies with "low risk" RMSA ratings	<i>Target</i>	—	—	>20%	>29%	>34%	>36%
	<i>Actual</i>	10%	20%	29%	34%	36%	45%

Performance Summary: Records management programs have shown steady improvement in compliance with Federal records management statutes and regulation. These programs continue to improve through increased engagement in information processes and decisions, enhanced policies and directives, and increased awareness. More than 95 percent of agencies are aiming to meet the December 31, 2019 target to manage all permanent electronic records in electronic format while the number of agencies whose records management programs are at high risk continues to decline. As NARA maintains an ongoing dialogue and engagement with agencies, we expect these achievements to continue.

Build our Future through our People

Performance Measure	Year	2012	2013	2014	2015	2016	2017
Percent of learning events receiving satisfactory rating from participants	<i>Target</i>	—	—	—	90%	90%	90%
	<i>Actual</i>	—	—	—	97%	96%	95%
NARA FEVS scores on questions related to internal communications	<i>Target</i>	—	—	>49%	>50%	>50%	>50%
	<i>Actual</i>	49%	50%	50%	55%	61%	64%
Communication effectiveness score from internal Customer Satisfaction Survey	<i>Target</i>	—	—	—	Baseline	67%	70%
	<i>Actual</i>	—	61%	64%	69%	56%	—*
Percent positive responses to FEVS questions related to diversity and inclusion (New IQ)	<i>Target</i>	—	—	—	56%	>56%	>56%
	<i>Actual</i>	47%	45%	46%	51%	55%	60%
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%	36%	35%

*NARA's communication effectiveness is captured in an Internal Services Satisfaction Survey report. Values reported here reflect changes in the survey questions creating a variance in the data.

Performance Summary: NARA continues to seek feedback from its staff through the federal Employee Viewpoint Survey (FEVS) and the Internal Services Satisfaction Survey (ISSS). While results indicate an improvement in diversity and inclusion, and internal communications, we experienced a slight decline in responses to questions on employees' perceptions on opportunities to get a better job.

In early FY 2017, NARA deployed a new Learning Management System to deliver, track, and report on training and development activities, including leadership, manager and supervisor, occupational, and core professional development programs and activities. In NARA's 2018 – 2022 Strategic Plan, we set out specific goals to develop career paths and provide employees with a line of sight for growth opportunities.

Federal Records Management Programs

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

Office of the Chief Records Officer Outreach Activities (FY 2017)

NARA conducted approximately 79 briefings and presentations on Federal record keeping during the fiscal year. Audiences included Federal agency officials, professional organizations, federal records managers, members of the press, and foreign archivists. Outreach activities were mainly conducted in the Washington, DC area but some were held in various locations throughout the country. The following are a few of the notable outreach activities during the year.

The first SAORM (Senior Agency Officials for Records Management) meeting of FY 2017 was held in December 2016.. More than 145 SAORMs and their accompanying agency records officers (ROs) registered for the event. The Archivist of the United States gave opening remarks noting the ongoing importance of records management. Key NARA staff held a "rapid fire" panel session covering records management policies, electronic records management line of business (LoB), records management annual reporting, newly issued *Records Management Training Bulletin*, and the impact of the Administration's transition. The main themes of the meeting were that records management does not stop with the full implementation of the *Managing Government Records Directive (OMB Memorandum M-12-18)* or with the change of administration. The work of records management requires an ongoing commitment from the SAORMs, as well as OMB and NARA. Technologies will evolve and systems will improve, and as they do, SAORMs and agencies must ensure records management is an integral part of that change and growth.

The second SAORM meeting of FY 2017 was held in April 2017. More than 100 SAORMs and agency records officers (ROs) attended. In his opening remarks, the Archivist of the United States thanked NARA staff and SAORMs for their work and encouraged everyone attending to continue their records management efforts, especially focusing on email and electronic records. A video, "[records management for political appointees](#)," was shown that emphasized the message that SAORMs need to convey to new Administration officials. Two panel discussions followed. The first panel addressed a variety of topics including records management as an information governance strategy, the legal foundations of records management, and the preliminary results of agency reporting. In the second panel discussion Justice Department officials shared their strategy to modernize records management, including strategic plans, approaches, and technologies.

NARA personnel also met with newly appointed SAORMs and records officers (ROs) from Federal Departments and agencies in small-group settings to discuss the records management responsibilities of new political appointees, the resources available from NARA to support them, and current events and changing technologies that presented challenges for Federal records management.

As part of a new initiative, the Federal Electronic Records Management Initiative (FERMI), NARA staff are working with partners in the General Services Administration (GSA) to explore ways to make it easier for Federal agencies to obtain electronic records management solutions and services. One approach involved development of a new special item number (SIN) created just for electronic records management. In April, NARA staff participated in GSA's Schedule 36 Industry Day in Philadelphia to talk about NARA efforts to update records management SINs. Approximately 20 vendors attended the session. Collaboration with GSA resulted in the release of a new Schedule 36 SIN 51 600 to help Federal agencies identify systems and vendors that meet NARA's requirements for management of electronic records.

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.

The deadline, established in M-12-18, for agencies to manage all email in an accessible format was December 31, 2016. Seventy-nine percent of agencies report having met this goal, with the remaining 21 percent reporting significant progress towards meeting the goal by the end of 2017. We are continuing to help all agencies meet this, and all goals of M-12-18, through guidance, engagement, and oversight.

Other selected milestones that NARA reached in records management in FY 2017 include:

Release of *SAORM Bulletin* (September 2017). The Bulletin clarifies the roles and responsibilities of the pivotal SAORM position and consolidates existing guidance into one source.

Release of *Universal Electronic Records Management (ERM) Requirements* (August 2017). Agencies can use the Universal ERM requirements as a starting point when writing a Statement of Work or Performance Work Statement for ERM tools or services. Records officers can share these requirements with their procurement and IT departments as a basis for work on specific requirements for agency systems. These requirements are also being leveraged by GSA to facilitate improvements in the acquisition process.

Release of *Agency Records Management Training Bulletin* (December 2016). The Bulletin specifies how often agency records management training must be administered, who must complete the training, and identifies mandatory content areas. The Bulletin provides promising practices intended to address the learning needs of personnel based on their position, role or responsibility.

Update of *Records Management Contract Language* (March 2017). This update reflects changes in the way the Government creates and manages records and current legal obligations.

Records Scheduling and Appraisal

Capstone Approach — In FY 2017, NARA approved 98 disposition requests for email managed under a Capstone approach, bringing the total to 104. NARA's *General Records Schedule (GRS) 6.1, Email Managed under a Capstone Approach*, provides disposition authority for agencies implementing a Capstone approach to email management. An approved disposition authority is a critical component to successfully managing email in a Federal agency.

Records Scheduling Backlog Project — NARA has greatly reduced its backlog of schedules (those that have been submitted more than two years prior). The current number of backlog schedules is down to 39 at the start of this fiscal year. This is approximately the same number as last year, despite the drop in staffing levels. NARA will continue to put a priority on reducing the number of backlog schedules.

Other General Records Schedules — NARA issued two GRS transmittals: GRS Transmittal 27, which included five new GRS, and new or updated items in four existing GRS; and GRS Transmittal 28, which included nine new GRS, and a new item added to one existing GRS. The transmittal also included general FAQs, schedule specific FAQs, and an implementation guide. NARA's General Records Schedules Team is scheduled to complete its comprehensive plan to overhaul the GRS by December 2017 as required in the *Managing Government Records Directive*.

Records Management Oversight and Reporting

Federal Agency Records Management (FARM) 2016 Annual Report – This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA. In 2017, NARA required three related but separate submissions: a Senior Agency Official for Records Management (SAORM) Report, a Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA) covering activities in 2016. The report is posted to: <https://www.archives.gov/records-mgmt/resources/self-assessment.html>.

- Senior Agency Official for Records Management (SAORM) Report – This submission included responses from high-level officials about the progress of their agency or agencies towards the targets and requirements in the Managing Government Records Directive (M-12-18), jointly issued by the Office of Management and Budget (OMB) and the National Archives and Records Administration (NARA) on August 24, 2012. For individual reports see: <https://www.archives.gov/records-mgmt/agency/sao-reporting-2016.html>.

- Federal Email Management Report – This submission, new for 2016, required agency records officers to assess their individual agency’s email management using a maturity model template based on the criteria NARA published in April 2016. For individual reports see: <https://www.archives.gov/records-mgmt/email-management/email-management-reports-2016>.
- Annual Records Management Self-Assessment (RMSA) – Agency records officers provided an evaluation of their individual agency’s compliance with Federal records management statutes, regulations and program functions. This report has been required since 2010. Individual scores are included in the report appendices.

Records Management Inspections – NARA inspects the records management programs of Federal agencies under the authority of 44 U.S.C 2904(c) (7) and 2906. In FY 2017, NARA completed inspections of the Departments of Agriculture, Commerce, Homeland Security, Interior, Labor and Transportation. (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 in late 2017 inspections at three Department of Defense components: Defense Logistics Agency, Defense Technical Information Center, and the National Guard Bureau to be completed in 2018.

Department Records Management Program Series – In FY 2015 NARA began a series of inspections of the records management programs within Departments. NARA is interested in how well Departmental records management programs operate and incorporate records management coordination into organizational business lines and culture. In this series, NARA examines how the Departmental programs work with those of the component agencies. As of FY 2017 NARA completed inspections of eight Departments (Departments of Agriculture, Commerce, Energy, Homeland Security, Interior, Labor, Treasury, and Veterans Affairs). Inspections of the Departments of Justice and Health and Human Services will be held in FY 2018. NARA will also conduct inspections of Departments that do not have component agencies (Departments of Education and Housing and Urban Development) in FY 2018.

- Department of Agriculture –NARA examined how the USDA Department-level records management program communicates and cooperates with the programs of the operational agencies and support components within the Department. The Department records officer has implemented enterprise-wide records management practices that support the records management program of 17 agencies and 18 Departmental offices which NARA was interested in examining.
- Department of Commerce –NARA examined how the DOC Department-level records management program communicates and cooperates with the programs of the bureaus, offices, and component agencies within the Department. Department of Homeland Security –NARA examined how the DHS Department-level records management program communicates and cooperates with the programs of the operational agencies

and support components within the Department. NARA was particularly interested in DHS' use of a maturity model to evaluate the records management programs. NARA was also interested in how DHS, which was created from various entities that were either independent agencies or components of other Departments, brought these entities together.

- Department of the Interior –NARA examined how the DOI Department level records management program communicates and cooperates with the programs of the bureaus, offices, and component agencies within the Department. NARA was also interested in the progress DOI has made in establishing a Department-wide central records management program including an electronic records management system for email and other electronic records that they have been working on since 2012.
- Department of Labor NARA examined how the DOL Department-level records management program communicates and cooperates with the programs of the operational agencies and support components within the Department. The DOL records management program is centralized with the Department Records Officer providing policy, guidance and procedural support to 24 records management programs. NARA was interested in examining how well this approach is working.
- Department of Transportation –NARA examined how the DOT Department-level records management program communicates and cooperates with the programs of the operational agencies and support components within the Department. The Department has implemented enterprise-wide records management practices that support the records management program of nine administrations, the Office of the Secretary, and other administrative offices which NARA was interested in examining.

Department of Defense Series – Due to the size of DOD it is necessary for NARA to have a multi-year inspection series. This series focuses on records management program policies, electronic records management, and permanent records. In the third and fourth quarters of FY 2017 NARA began this series with the Defense Logistics Agency (DLA), the Defense Technical Information Center (DTIC), and the National Guard Bureau. These inspections will be completed in FY 2018.

Monitoring and follow-up - In response to inspections, NARA works with agencies to prepare corrective action plans with measurable action items and milestones. NARA monitors progress via agency submitted progress reports until all actions are completed. NARA is currently monitoring 15 plans of corrective actions with 197 items. Of these, 115 items are currently open, 34 items pending closure by early 2018, and 48 items were closed. Additionally, the plan of corrective action for the Office of the Secretary of Defense inspection conducted in 2010 was officially closed with all action items complete.

Records Management Training

In FY 2017, NARA conducted 229 courses, including 50 online sessions, and trained over 4,500 individuals in records management policy and practices. NARA's Records Management Training program awarded 550 *Certificates in Federal Records Management Training*. Courses and trainees declined approximately 20 percent from FY 2016 in part due to the budget climate in Federal agencies. Budget constraints led to cancellations of the majority of courses scheduled in the field due to low registration.

Approximately 25 percent of the courses were requested by agencies including the Centers for Disease Control, Department of the Army, Department of Energy, Department of the Navy, Department of the Treasury, Department of Veterans Affairs, Federal Bureau of Investigation, National Aeronautics and Space Administration and the National Credit Union Administration. NARA completed the development and implementation of a new asynchronous course, *Sustainable Formats and Permanent Electronic Records*.

FY 2017 program modernization efforts included 1) implementing a new learning management system that facilitates automated payment processing; 2) completing the design of level one courses in the new three-tiered curriculum; 3) completing tasks analysis for the second tier of the curriculum; and 4) developing a face-to-face *Records Management for All Hands* course that agencies can implement to comply with the training requirements in *NARA Bulletin 2017-01*.

Alleged Unauthorized Disposition of Federal Records

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

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

To support transparency and open government, the following pages are now available online:

- [FY 2018 Open Cases - Unauthorized Disposition of Federal Records](#). This page includes all open cases by fiscal year and any cases that close in FY 2018.
- [FY 2017 Closed Cases - Unauthorized Disposition of Federal Records](#). This page includes all unauthorized disposition cases that closed in FY 2017. For information on cases closed prior to FY 2017, see the [Annual Performance and Accountability Report](#) for the desired fiscal year.

There were 25 open cases at the end of FY 2017 and 30 cases that were closed in FY 2017.