National Archives and Records Administration

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

Fiscal Year 2020 Budget Request

CONTENTS

NARA Mission, Vision, and Goals

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

VISION:

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

MISSION:

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

STRATEGIC GOALS:

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

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

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

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

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

Performance by Strategic Goal

Make Access Happen

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

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

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

Performance Measure	Year	2015	2016	2017	2018	2019	2020
Percent of archival holdings processed	Target	70%	>72%	78%	79%	80%	81%
	Actual	72%	74%	78%	79%		
Total number of archival holdings processed	Target	—	—	—	—	—	—
	Actual	3.5M	3.8M	4.3M	4.5M		

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

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

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

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

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

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

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

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

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

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

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

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

Connect with Customers

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

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

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

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

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

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

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

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

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

Performance results reflect satisfaction with NARA's public programs.

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

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

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

Performance Measure	Year	2015	2016	2017	2018	2019	2020
Cumulative number of records enhanced by citizen contributors	Target	—	—	75K	100K	260K	300K
	Actual	—	—	136K	259K		

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

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

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

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

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

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

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

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

Maximize NARA's Value to the Nation

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

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

Description of measure: NARA conducts on-site inspections of other agencies' records management practices to help those agencies strengthen their recordkeeping programs and ensure that records are being managed appropriately. NARA conducts inspections according to established procedures, publishes findings and recommendations in written reports, and requires agencies to respond with corrective actions that are tracked through completion. NARA measures performance as the count of agencies inspected, assessed, or audited in a fiscal year, as a percentage of the total number of agencies required to complete the annual Records Management Self-Assessment (RMSA) survey. In FY 2017, 259 agencies participated in the RMSA.

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

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

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

Description of measure: NARA has identified the critical need to transition Federal recordkeeping to a fully-electronic environment to promote efficiency, increase access to information, and allow NARA and Federal agencies to focus resources on meeting the challenges of managing electronic records. NARA will select specific "milestone" goals to track progress and performance against this objective based on ongoing consultation with OMB. NARA will establish baseline metrics for this objective in FY 2019.

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

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

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

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

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

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

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

Build our Future through our People

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

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

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

Performance Measure	*Year*	*2015*	*2016*	*2017*	*2018*	*2019*	*2020*
Percent of staff who participated in a leadership development activity	*Target*	—	—	baseline	35%	37.5%	40%
	Actual	—	—	32.5%	39.3%		

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

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

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

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

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

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

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

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

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

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

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

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

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

Federal Records Management Programs

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

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

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

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

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

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

Managing Government Records Directive / Policy and Guidance

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

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

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

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

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

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

Records Scheduling and Appraisal

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

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

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

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

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

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

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

- *Annual Records Management Self-Assessment (RMSA)* - Agency records officers provided an evaluation of their individual agency's compliance with Federal records management statutes, regulations and program functions. This report has been required since 2010. The individual scores are included as an appendix in the report here: https://www.archives.gov/records-mgmt/resources/self-assessment.html.

Records Management Inspections - NARA inspects the records management programs of Federal agencies under the authority of 44 U.S.C 2904(c) (7) and 2906. In FY 2018, NARA completed inspections of the Department of Justice, National Guard Bureau, U.S. Customs and Border Protection, International Boundary and Water Commission, and Defense Technical Information Center. Other inspections started late in 2018 were completed in the first quarter of 2019 included the Department of Health and Human Services, Department of Housing and Urban Development, National Oceanic and Atmospheric Administration, US Geological Survey, and the Tennessee Valley Authority. (NARA's complete inspection reports for these and previous inspections are available at: https://www.archives.gov/records-mgmt/resources/rm-inspections).

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

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

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

- *Monitoring and Follow-up* - In response to inspections, NARA works with agencies to prepare corrective action plans with measurable action items and milestones. NARA monitors progress via agency submitted progress reports until all actions are completed. NARA is currently monitoring 22 plans of corrective actions with 272 items. Of these, 142 items are currently open, 130 items are closed. There are five plans of corrective action under development and pending approval. Additionally, the plans of corrective action for the Office of the Secretary of Defense inspection conducted in 2010 and the Internal Revenue Service inspection conducted in 2015 are officially closed with all action items complete.

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

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

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

Alleged Unauthorized Disposition of Federal Records

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

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

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

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

Records Management Training

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

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