

National Archives and Records Administration

**FY 2021 ANNUAL PERFORMANCE PLAN and
FY 2019 ANNUAL PERFORMANCE REPORT**

Fiscal Year 2021 Budget Request

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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	2016	2017	2018	2019	2020	2021
Percent of archival holdings processed	<i>Target</i>	>72%	78%	79%	80%	81%	82%
	<i>Actual</i>	76%	85%	87%	89%		
Total number of archival holdings processed	<i>Target</i>	—	—	—	—	—	
	<i>Actual</i>	3.8M	4.3M	4.5M	4.8M		

Performance summary: NARA’s goal is to complete basic processing between 12 months to 18 months after receiving new transfers of records to NARA’s legal custody. Through September 2019, NARA has processed a cumulative total of 4.8 million cubic feet of records, exceeding the annual target of 80 percent of total holdings processed.

In FY 2020, NARA will implement new basic processing procedures for analog special media records, adding to existing procedures for textual records. NARA will establish basic processing metrics for each organizational unit with custody over analog records, with quarterly goals and reporting. NARA is currently implementing a new quality control process, which will improve consistency in identifying processing errors and provide managers with feedback on overall processing performance.

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 archival government records through agreements with private partners, through in-house scanning by archival units and a 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	2016	2017	2018	2019	2020	2021
Number of pages digitized and made available online through the Catalog	<i>Target</i>	baseline	40M	65M	90M	115M	140M
	<i>Actual</i>	16.5M	36.5M	53.1M	92.6M		

Performance Summary: NARA provides public access to more than 92 million pages of digitized records through the online National Archives Catalog, exceeding the FY 2019 performance goal for this metric. NARA posted 39.5 million pages of archival records in FY 2019, with more than 28 million pages from third-party digitization partners.

In FY 2019, NARA implemented a new process to transfer digitized records on proprietary portable media storage devices to the agency's cloud hosting vendor for upload by the vendor. NARA also de-centralized internal processes for uploading records to the Catalog, allowing archival units across the country to directly upload records as they are digitized.

In FY 2020, NARA will explore additional options to streamline the flow of records from external digitization partners into the National Archives Catalog. NARA will continue to expand and improve the internal upload process for archival units and, by FY 2021, all archival units will directly upload files from their digitization projects to the Catalog to improve the time from digitization to public access.

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 National Archives Catalog through NARA's Application Programming Interface (API), as a percentage of the total records and artifacts described in the National Archives Catalog at the start of the fiscal year.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Percentage of series descriptions in the National Archives Catalog made findable through API-based finding aid products	<i>Target</i>	—	0.5%	1%	3%	89%	90%
	<i>Actual</i>		0%	0%	84%		

Performance summary: In FY 2019, NARA deployed the “record group explorer”, a new finding aid which allows users to discover digital content for all record groups with records available in the National Archives Catalog. The new record group explorer provides members of the public with access to explore and discover 84 percent of NARA’s series-level descriptions.

In FY 2020, NARA plans to develop a collections explorer and a finding aid for the Bureau of Indian Affairs. NARA also plans to prototype a user-generated finding aids tool, which will allow users to create and share their own finding aids.

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	2016	2017	2018	2019	2020	2021
Percent of customer requests ready within the promised time	<i>Target</i>	93%	93%	93%	93%	93%	93%
	<i>Actual</i>	95%	91%	96%	97%		

Performance summary: NARA remains committed to providing excellent reference services and timely responses to customer requests, as demonstrated by our success in providing a one-hour turnaround time for in-person requests and responding to written reference requests within 10 business days. NARA continues to exceed its performance goals.

In FY 2020 and FY 2021, NARA expects to make significant improvements in providing timely responses to veterans' requests for copies of their military records. NARA will deploy new technology that will allow for electronic delivery of digitized responses to requests (instead of paper copies sent through the mail). NARA will further automate reference requests by piloting the use of portable imaging technology to scan records in storage bays (instead of moving them to office space and then re-filing them later) and automating mail room operations by using optical character recognition technology to read in data from customer request forms.

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 museum exhibits, educational and public programs, online tools and services, and by soliciting public participation in agency activities, such as digitizing and describing archival records. NARA measures public use of agency resources and participation levels to understand the breadth of agency engagement with customers and the public. NARA currently measures customer satisfaction with outreach activities as the percentage of public programs and events that met attendee expectations, based on surveys of attendees.

Performance Measure	Year	2016	2017	2018	2019	2020	2021
Percent satisfaction from participants in public engagement activities	<i>Target</i>	90%	90%	90%	90%	90%	90%
	<i>Actual</i>	—	—	94%	94%		

Performance summary: NARA continued to deliver programs driven by common civic literacy and engagement goals in FY 2019. NARA monitors participation and satisfaction levels in online and physical public and education programs to ensure that efforts to engage the public were 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 scanning, tagging, and transcribing archival records. 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	2016	2017	2018	2019	2020	2021
Cumulative number of records enhanced by citizen contributors	<i>Target</i>	—	75K	100K	260K	500K	600K
	<i>Actual</i>	—	136K	259K	483K		

Performance summary: NARA has exceeded the target for this goal, and has increased future year performance targets to incorporate better-than-expected performance. NARA exceeded its FY 2019 goal primarily by expanding the use of "citizen archivist missions". Citizen archivist missions are requests that NARA issues to the public, challenging volunteers to tag, transcribe, comment on, or even digitize particular records based on specific, assigned topics. In FY 2019, NARA launched a total of 54 citizen archivist missions. In FY 2020, NARA will make it easier for members of the public to complete citizen archivist missions by using APIs for a more seamless interface between the citizen archivist platform and the National Archives Catalog.

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: FY 2019 saw significant progress towards this goal with the release of OMB Memorandum M-19-21, Transition to Electronic Records. This memorandum was jointly signed by the OMB Director and the Archivist of the United States to set interim goals for Federal agencies to transition to fully electronic recordkeeping. M-19-21 requires agencies to manage all permanent records electronically by December 31, 2022 and to either manage temporary records in electronic format or store them in commercial records facilities. M-19-21 also requires NARA to issue updates to records management regulations and guidance to support the Memorandum by September 30, 2020.

NARA issued its first regulation to meet the M-19-21 goal in FY 2019, modifying 36 CFR Chapter 12 to establish standards for digitizing temporary records. New section 36 CFR § 1236 now permits agencies to digitize temporary records in analog formats and destroy the analog originals, subject to the standards and conditions established in the regulation. In FY 2020, NARA intends to issue additional regulations establishing standards for digitizing and destroying analog originals of permanent records. NARA is currently developing standards to ensure image quality and completeness of scanning jobs, as well as metadata standards for digitized permanent 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 2019, 259 agencies participated in the RMSA.

<i>Performance Measure</i>	<i>Year</i>	<i>2016</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>
Percent of Federal agencies inspected	<i>Target</i>	—	—	10%	10%	10%	10%
	<i>Actual</i>	—	3%	13%	12%		

Performance summary: In FY 2019, NARA completed formal inspections of eight agencies. NARA assessed an additional 13 agencies' records management policies and practices related to the management of Federal Advisory Committee records. NARA assessed the email management practices of nine independent Federal agencies, including the implementation of records retention schedules and compliance with requirements for the use of email and email management systems. In FY 2020, NARA will begin systems audits of agency electronic records management and email systems.

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.

Performance summary: In FY 2019, OMB and NARA jointly issued Memorandum M-19-21, *Transition to Electronic Records*. M-19-21 includes NARA’s goal to stop accepting analog records in 2022 and incorporates NARA’s strategic objective into government-wide policy.

In FY 2019, NARA continued enhancements of its next-generation repository for archival electronic records, the Electronic Records Archive (ERA) 2.0. NARA expanded the archival processing tools available to assist users in processing and preserving electronic archival records and expanded the number of NARA staff using ERA 2.0 to conduct routine processing of electronic records. NARA is currently integrating workflow management tools into ERA 2.0 to assist in maintaining intellectual controls over work-in-progress records and connecting transfers of electronic records from agencies to documentation supporting the transfer, including records schedules. NARA is also integrating two-factor authentication tools to control access to ERA 2.0 and better ensure the integrity of the records stored there.

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.

<i>Performance Measure</i>	<i>Year</i>	<i>2016</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>
Number of platforms that use NARA records as part of their business model	<i>Target</i>	—	3	4	22	26	27
	<i>Actual</i>	—	15	21	25		

Performance summary: In FY 2019, NARA identified new platforms incorporating NARA records and data through their external platforms using the National Archives Catalog API. NARA continued to make improvements to the National Archives Catalog API and is scheduled to complete a second version in FY 2020. This new version will make it significantly easier for external platforms to reuse NARA’s data. In FY 2020 and FY 2021, NARA will continue to promote and encourage existing and potential new external platforms to leverage the API for reuse of NARA’s 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's 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	2016	2017	2018	2019	2020	2021
Percent of staff who participated in a leadership development activity	<i>Target</i>	—	baseline	35%	37.5%	40%	40%
	<i>Actual</i>	—	32.5%	39.3%	46%		

Performance summary: In FY 2019, three cohorts participated in NARA's Supervisor Development Program (SDP). NARA's SDP is a year-long program that combines instruction and experiential learning for new supervisors. To date, twenty percent of supervisors have completed the program with a fourth cohort scheduled for completion in FY 2020. In FY 2020, NARA will deploy a supervisor refresher program to introduce new material and incorporate lessons learned from cohort experiences. The supervisor refresher will be an annual requirement for all managers and supervisors.

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	2016	2017	2018	2019	2020	2021
Percent of NARA positions filled within 80 days	<i>Target</i>	45%	55%	65%	75%	85%	85%
	<i>Actual</i>	53%	40%	48%	32%		

Performance summary: In FY 2019, NARA successfully transitioned to the Department of Treasury, Bureau of the Fiscal Service, Administrative Resource Center (ARC), a third-party human resources shared service provider who provides NARA staff with staffing and classification services among several other services. Our shared services approach is designed to address NARA’s challenges in staffing and recruitment, modernize our personnel practices, and improve customer service. During this transition, NARA staffing specialists worked to complete existing vacancies by the end of the fiscal year while the new provider managed new vacancies. NARA expects that the service provider will complete 85 percent of hiring actions within the 80-day model in FY 2020.

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	2016	2017	2018	2019	2020	2021
Percent of NARA positions with career paths	<i>Target</i>	—	35%	48%	90%	95%	95%
	<i>Actual</i>	15%	36%	48%	48%		

Performance summary: NARA did not realize progress against this goal in FY 2019. The migration to a human resources shared services provider delayed development and implementation of career paths for NARA staff. NARA was not able to revise position descriptions or analyze positions and organizational structures while planning and executing the shared services migration. In FY 2020, NARA will re-double its efforts to develop and implement meaningful career paths for 95 percent of positions.

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 being developed. NARA will support this effort by using workforce analysis to identify skill profiles for each employee in the future.

In FY 2020 and FY 2021, NARA will focus on the creation of a robust career development program. This effort will require NARA to assess employee skill gaps in areas of technology competency and provide mapped resources to help close those gaps. NARA will examine ways to offer training opportunities and structured assignments to build digital skills. We will expand opportunities for staff to practice skills needed for the future and integrate key digital skills into work assignments, duties, and responsibilities.

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).

OMB/NARA Memorandum, Transition to Electronic Records (M-19-21)

On June 28, 2019, OMB and NARA issued a pivotal joint memorandum Transition to Electronic Records (M-19-21). This memorandum directs all Federal agencies to ensure that all Federal records are created, retained, and managed in electronic formats, with appropriate metadata.

M-19-21 supersedes the goals established in the 2012 Managing Government Records Directive (M-12-18). M-19-21 incorporates the key goals from that earlier memo and builds upon them with objectives that further drive the executive branch to all-electronic recordkeeping. Specifically, by December 31, 2022, all Federal agencies subject to the Federal Records Act will:

- Manage all permanent records in an electronic format and with appropriate metadata, and
- Manage all temporary records in an electronic format or store them in commercial records storage facilities.

Since the release of M-19-21, NARA staff conducted numerous briefings and presentations to communicate the latest guidance to agencies. In August, the Archivist of the United States hosted a meeting for Senior Agency Officials for Records Management (SAORM) to discuss the memorandum. In addition, NARA included M-19-21 as the main topic at the Agency Services Bimonthly Records and Information Discussion Group (BRIDG) meeting with the Federal records management community.

Office of the Chief Records Officer Outreach Activities (FY 2019)

NARA conducted approximately 90 briefings and presentations on Federal recordkeeping during the fiscal year. Audiences included Federal agency officials, Federal records managers, professional organizations, members of the press, and foreign archivists. Outreach activities were mainly conducted in the Washington, D.C. area.

The Chief Records Officer for the U.S. Government and his senior staff met with individual SAORMs and their staff to discuss records management issues and activities within their organizations. These face-to-face meetings were held with Department of Labor, National Mediation Board, National Endowment for the Humanities, Office of Personnel Management, and the Social Security Administration.

NARA hosted four Bimonthly Records and Information Discussion Group (BRIDG) meetings and four Federal Records Management Council (FRMC) meetings. NARA staff also presented at several agency-sponsored records management events, including the Office of the Director of National Intelligence (ODNI) community-wide records management event in April, the 2019 Department of Energy Cyber Conference, and the Treasury RIM Summit.

One specific engagement strategy was related to Federal records management and Microsoft

Office 365. In FY 2019, NARA transitioned the Electronic Records Management Automation Working Group to an Office 365 user group. Most Federal agencies are in the process of implementing Microsoft Office 365 and have many questions about how to implement records management. NARA will continue to host this monthly user group of more than 30 agencies to address challenges in FY 2020.

NARA staff presented at events sponsored by records management related organizations, to engage with the professional records and archives communities. The Chief Records Officer or his staff spoke at the annual meetings for the Council of State Archivists (CoSA), National Association of Government Archives and Records Administrators (NAGARA), and the Society of American Archivists (SAA). NARA staff presented at Washington, D.C.-based vendor-sponsored events. NARA staff also presented at various information-governance related events, such as the 2019 Department of Defense (DOD) and Federal Knowledge Management Symposium, the General Counsel's Exchange, the Department of Homeland Security (DHS) Procurement Law Symposium, and the Office of Management and Budget (OMB) Chief Data Officers Orientation. Combined, these events reached thousands of records and information management professionals.

NARA Strategic Plan (2018-2022) Progress

In FY 2019, NARA made significant progress on an agency strategic objective to have policies and processes in place to support Federal agencies' transition to fully electronic recordkeeping by FY 2020. NARA continued progress on an initiative to support Federal-wide electronic records management (ERM) policy and acquisition strategies, and completed a regulation on digitizing temporary records.

NARA supported Federal agencies' transition to electronic recordkeeping by continuing the efforts of the [Federal Electronic Records Modernization Initiative](#) (FERMI). Through FERMI, NARA advocates for improved procurement processes that help agencies obtain needed ERM solutions and services.

Accomplishments in FY 2019 included:

- Continued work with GSA to increase agency use of Schedule 36, Special Item Number, 51-600, Electronic Records Management Solutions by assisting 14 agencies with their statements of work and market research.
- Partnered with GSA to create two new product service codes for physical and ERM solutions. These codes will enable government-wide tracking of records management spending.
- Coordinated with GSA to include [Universal Electronic Records Management Requirements](#) in the New Pay initiative for a payroll shared services, providing a common solution for all agencies to manage these records.
- GSA and NARA created a market research tool at discovery.gsa.gov to help agencies find solutions that meet the Universal ERM Requirements.

NARA issued a regulation for digitization of temporary records effective on May 10, 2019. The regulation provides standards for digitizing and validating temporary Federal records where agencies may dispose of original source records in accordance with a NARA-approved disposition authority.

In FY 2019, NARA published two digitization products:

- In April, NARA issued a new regulation for digitizing temporary records (36 CFR Chapter XII, Subchapter B, Part 1236, [Subpart D](#)). This regulation provides standards for digitizing and validating temporary records so that agencies can destroy the original source records, according to a NARA-approved disposition authority, and use the digital versions for the same purposes and periods of time. These are high-level standards that allow agencies flexibility in deciding how to use digitization as part of their transition to electronic recordkeeping. NARA is developing another regulation for digitizing permanent records. This more technical regulation will be published in FY 2020.
- In May, NARA published [cost-benefit analysis products](#) related to digitization. NARA supported and coordinated the Federal Records Management Council (FRMC) Digitization Cost-Benefit Analysis working group. This working group developed cost-benefit analysis products that provided practical support for the business decision of when or when not to digitize Federal records. The products include a pricing chart summarizing price ranges observed on various vendors' GSA Schedule 36 for Special Item Number 51 506 - Document Conversion. The sample calculation tools will enable an agency to determine estimated costs for digitizing Federal records.

NARA Research on Emerging Electronic Records Management Technologies

NARA issued a Blockchain white paper that focused on fundamental records management concerns such as the existence of records on a Blockchain, records authenticity and integrity, records scheduling, and records transfer and accession to NARA.

Records Management Policy and Standards

NARA continued its participation in the International Organization for Standardization (ISO) technical committees ISO/TC 46/SC 11 (archives/records management) and ISO/TC 171 (document management applications).

NARA served on a committee to draft and revise the standard *ISO 30301:2019 Information and documentation — Management systems for records — Requirements*, which was published in February. This standard specifies requirements to be met by a management system for records (MSR) in order to support an organization in the achievement of its mandate, mission, strategy and goals. The standard addresses the development and implementation of a records policy and objectives and provides information on measuring and monitoring performance.

Additionally, NARA served on the advisory board of the *Review, Appraisal, and Triage of Mail* (RATOM) project funded by a grant from the Andrew W. Mellon Foundation. This project extends the email processing capabilities to identify and report on entities present within emails and email attachments; identify materials requiring redaction or review; and developing software modules to assist with preparation of materials for release or public access. NARA also participated on the Mellon Foundation grant funded *Archiving Email into PDF Containers* project

to identify the essential characteristics and optimal functional requirements of email messages and necessary related information in a PDF technology-based archive.

Records Scheduling and Appraisal

- **Capstone Approach.** 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. In FY 2019, NARA approved 36 disposition requests for email managed under a Capstone approach, bringing the total to 194. An approved disposition authority is a critical component to managing email successfully in a Federal agency.
- **Records Scheduling Backlog Project.** NARA defines its backlog of schedules as those that have been submitted more than two fiscal years prior. At the start of the fiscal year the number of backlog schedules was 69, which was an increase from last year's backlog of 58. NARA will continue to prioritize reducing the number of backlog schedules. In FY 2019, NARA closed 356 schedules.
- **General Records Schedules.** NARA continued to work on minor revisions and additions to the GRS. These updates are expected to be issued in early FY 2020

Records Management Oversight and Reporting

Federal Agency Records Management Annual Report 2018. This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA. In 2019, NARA required three related but separate submissions: a Senior Agency Official for Records Management (SAORM) Report, a Federal Email Management Report, and the Records Management Self-Assessment (RMSA) covering activities in 2018. The report is available at: <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. M-12-18 was rescinded by the joint OMB/NARA memorandum M-19-21. NARA will begin reporting on progress for this new guidance in FY 2020. 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>
- **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 annual report. (See link above).

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 2019, NARA completed inspections of the Department of Health and Human Services, Department of Housing and Urban Development, U.S. Geological Survey, National Oceanic and Atmospheric Administration, Tennessee Valley Authority, Centers for Disease Control, National Aeronautics and Space Administration, and the Department of the Air Force. (NARA's complete inspection reports for these and previous inspections are available at: <https://www.archives.gov/records-mgmt/resources/rm-inspections>.)

Inspections that were initiated in late FY 2019 and will be concluded in the next fiscal year included: Department of State, Department of Education, Department of Defense Joint Staff and Combatant Commands, Disaster Response and Recovery Records of the Federal Emergency Management Agency, U.S. Army Corps of Engineers, U.S. Forest Service and emergency management offices within the Small Business Administration, Department of the Interior and Department of Health and Human Services, Managing Permanent Records by the Defense Intelligence Agency, Federal Communications Commission, U.S. Global Media, U.S. Agency for International Development, and the General Services Administration.

NARA also published the [Summary Report of Inspections of Departmental Federal Records Management Programs 2015-2018](#), which summarized individual inspections conducted of the records management programs for 11 of the 15 executive departments.

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. At the end of FY 2019, NARA was monitoring 28 plans of corrective actions with 202 open items.

Records Management Assessments. An assessment is an evaluation of a specific records management topic, issue or activity affecting records management processes, procedures 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. Reports are available at: <https://www.archives.gov/records-mgmt/resources/rm-assessments>

- **Federal Advisory Committee Act (FACA).** NARA conducted an assessment of 13 Federal agencies pertaining to records management policies and practices related to the management of Federal Advisory Committee records, with an emphasis on email management.
- **Email Management at Independent Agencies.** NARA conducted an assessment of nine independent Federal agencies on their email management including their implementation of records retention schedules and requirements for the use of email and email management systems. The purpose of this assessment was to identify implementation progress, barriers encountered, and successes achieved by agencies using non-Capstone, or traditional approaches to email management.

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. To support transparency and open government NARA now provides this information online: [Open Cases - Unauthorized Disposition of Federal Records](#) and [Closed Cases - Unauthorized Disposition of Federal Records](#). For information on cases closed prior to fiscal year 2016, see the [Annual Performance and Accountability Report](#) for the desired fiscal year.

NARA Records Management Training for Agencies

NARA's Records Management Training Program conducted 146 courses (including 64 online sessions) and trained over 2,575 agency customers on their records management responsibilities. Included in these numbers are 439 students who completed the requirements for NARA's Certificate of Federal Records Management Training. NARA is transitioning to creating more content online at no cost to customers, which will improve the reach of the program, and customer access to needed content. As a measure of the program's success in FY 2019, 90 percent of all students who completed a course responded that they were highly satisfied with the content and delivery of the training.