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# National Archives and Records Administration



NATIONAL  
ARCHIVES

## **FY 2013**

### **CONGRESSIONAL JUSTIFICATION**

February 13, 2012

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**National Archives and Records Administration**

**SUMMARY of the FY 2013 REQUEST**

**Fiscal Year FY 2013 Budget Request**

**CONTENTS**

Summary of the Request.....	2
NARA Transformation .....	4
NARA Organization .....	5
Summary of Requested Appropriations Action .....	6
Total Discretionary Obligations by Object Classification.....	7

**Summary of the Request**

The FY 2013 budget of the National Archives and Records Administration (NARA) requests \$370 million in discretionary budget authority. This is a decrease of \$6 million from the FY 2012 enacted level. Within the aggregate request, \$355 million is requested for the Operating Expenses appropriation, including the operations and maintenance of the Electronic Records Archives (ERA) system, \$4 million is requested for the NARA Office of Inspector General, \$8 million is requested for Repairs and Restoration of NARA-owned buildings, and \$3 million is requested for the National Historical Publications and Records Commission (NHPRC) Grants Program.

**Summary of Discretionary Budget Authority**

*(Dollars in Thousands)*

	FY 2011 Enacted	FY 2012 Enacted	FY 2013 Request
Operating Expenses Net Budget Authority	\$ 325,103	\$ 358,099	\$ 355,154
Office of Inspector General	4,242	4,100	4,100
Electronic Records Archives	71,856	0	0
Repairs and Restoration	11,824	9,100	8,000
NHPRC Grants Program	6,986	5,000	3,000
<b>NARA Discretionary Budget Authority</b>	<b>\$ 420,011</b>	<b>\$ 376,299</b>	<b>\$ 370,254</b>

**Appropriations Request**

*(Dollars in Thousands)*

	FY 2011 Enacted	FY 2012 Enacted	FY 2013 Request
Operating Expenses Appropriation	\$ 339,090	\$ 373,300	\$ 371,675
Office of Inspector General	4,242	4,100	4,100
Electronic Records Archives	71,856	0	0
Repairs and Restoration	11,824	9,100	8,000
NHPRC Grants Program	6,986	5,000	3,000
<b>Total Appropriations Request</b>	<b>\$ 433,998</b>	<b>\$ 391,500</b>	<b>\$ 386,775</b>

## **Operating Expenses**

NARA requests an appropriation of \$372 million for Operating Expenses in FY 2013, including \$31 million for ERA. NARA's request for Operating Expenses is a reduction of over -\$1 million and -14 FTE from the FY 2012 enacted level, including:

- (1) *-\$925 thousand and -14 FTE in savings from reprioritizing work and realigning resources to focus on the most critical needs of the agency;*
- (2) *-\$700 thousand reduction from non-recurring one-time increases in FY 2012 for costs to acquire new archival storage space.*

NARA requests \$355 million in net Budget Authority for Operating Expenses in FY 2013. The net budget authority for Operating Expenses is calculated as the appropriation request of \$372 million, *minus* \$17 million for the annual payment for the redemption of debt on the Archives II facility.

## **Office of Inspector General**

NARA requests \$4.1 million for the Office of Inspector General in FY 2013. This is the same as the FY 2012 enacted level. Funds requested in FY 2013 are essential to assure the integrity of NARA programs, ensure that NARA fulfills its responsibilities to safeguard and preserve Federal records, and combat fraud, waste, and abuse.

## **Repairs and Restoration**

NARA requests \$8 million for Repairs and Restoration of NARA-owned Federal buildings in FY 2013, a decrease of -\$1.1 million from the FY 2012 enacted level. Funds requested in FY 2013 will provide for renovations to NARA buildings necessary to maintain health and safety standards for the occupants, preserve archival documents stored in NARA facilities, and protect the value of government real property assets.

## **NHPRC Grants Program**

NARA requests \$3 million for the National Historical Publications and Records Commission (NHPRC) Grants Program in FY 2013, a decrease of -\$2 million from the FY 2012 enacted level. Funds requested in FY 2013 will be used to support the preservation, cataloging, and description of archival materials at non-Federal records repositories across the United States. NHPRC grants focus on projects that increase public access to important historical documents by digitizing them and publishing them through print media and on-line.

## **NARA Transformation**

In FY 2010, NARA began a five-year process of transformation, designed to modernize operations, increase efficiency and effectiveness, and address the challenges that NARA faces now and in the immediate future. NARA spent six months developing a new strategic framework and organizational structure that maintain NARA's traditional role of preserving and providing access to Federal records while demonstrating leadership and innovation in open government, electronic records management, and organizational effectiveness.

NARA has established six "transformational outcomes" which define how NARA will fulfill its mission, interact with stakeholders and the public, and operate as a cohesive unit. The transformational outcomes clarify and update the agency mission statement by specifying how NARA will deliver its mission in a modern environment. The transformational outcomes are key benchmarks for evaluating NARA programs against agency goals, objectives, and values, streamlining processes, and improving NARA performance, management, and accountability to citizens.

### **NARA Mission**

*The National Archives and Records Administration serves American democracy by safeguarding and preserving the records of our Government, ensuring that the people can discover, use, and learn from this documentary heritage. We ensure continuing access to the essential documentation of the rights of American citizens and the actions of their government. We support democracy, promote civic education, and facilitate historical understanding of our national experience.*

### **Transformational Outcomes**

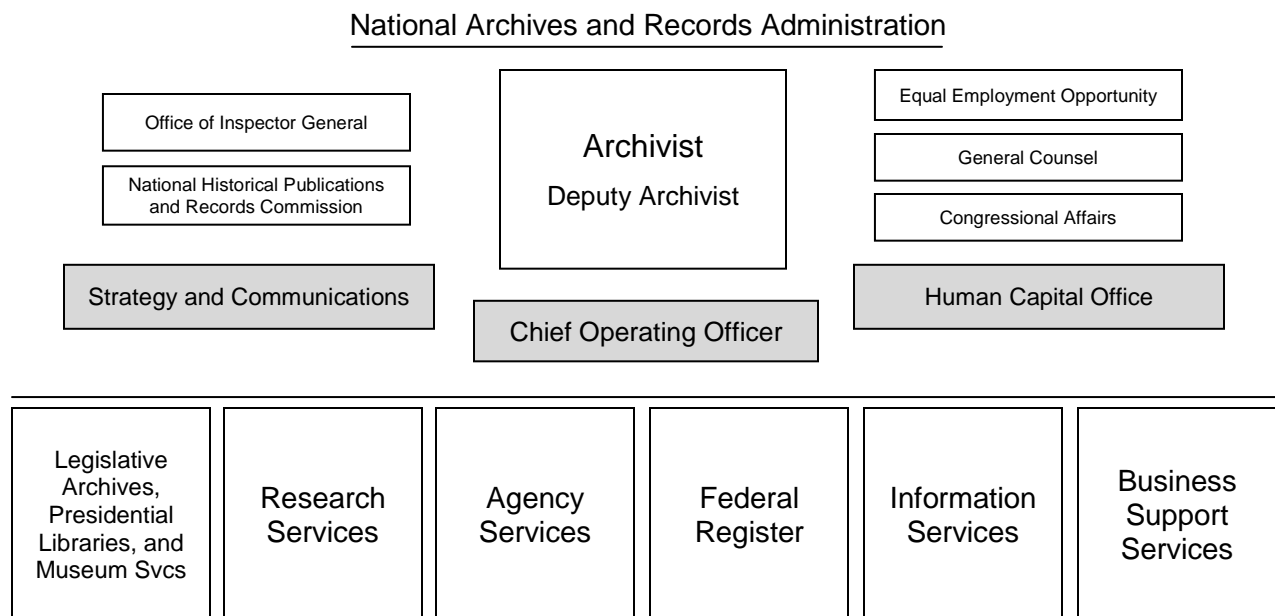
NARA must achieve six transformations in the next five years in order to meet the challenges of the future, improve performance and management, and better serve the American people.

- *One NARA.*—We will work as one NARA, not just as component parts.
- *Out in Front.*—We will embrace the primacy of electronic information in all facets of our work and position NARA to lead accordingly.
- *An Agency of Leaders.*—We will foster a culture of leadership, not just as a position but as the way we all conduct our work.
- *A Great Place to Work.*—We will transform NARA into a great place to work through trust and empowerment of all of our people, the agency's most vital resource.
- *A Customer-Focused Organization.*—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.
- *An Open NARA.*—We will open our organizational boundaries to learn from others.

## NARA Organization

In FY 2011, NARA implemented a new organizational structure to more efficiently and effectively fulfill its mission and better position the agency to achieve its new transformational outcomes. NARA abolished its fragmented and stove-piped geographic structure and realigned into new organizations focused on key stakeholders and customers.

The new organizational structure allows NARA to better engage its stakeholders, encourage their collaboration and participation, and respond to their needs expediently and efficiently. The new structure deliberately creates interdependencies between organizational units, to eliminate duplication of processes and resources, create a more flexible and adaptable organization, and promote shared accountability for the performance of the agency as a whole.



- *Legislative Archives, Presidential Libraries, and Museum Services* focuses on the records needs of the White House and Congress, researchers who make use of Presidential and Congressional records, and museum visitors, educators, and students.
- *Research Services* provides world-class service to researchers and citizens wanting to access the records of the National Archives and preserves archival holdings for the benefit of future generations.
- *Agency Services* leads NARA in meeting the records management needs of Federal agencies and represents the public's interest in transparency of these records.
- *The Office of the Federal Register* fulfills the Archivist's responsibilities to publish the daily Federal Register, the Code of Federal Regulations, and the Statutes-at-Large, and other statutory requirements.
- *Information Services* and *Business Support Services* improve NARA's efficiency and effectiveness by providing tools, services, and expertise that support agency operations.

National Archives and Records Administration  
 Summary of the FY 2013 Request

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**Summary of Requested Appropriations Action**  
 (Dollars in Thousands)

	FY 2011 Enacted	FY 2012 Enacted	FY 2013 Request
Operating Expenses:			
Legislative, Presidential, and Museum Services	\$ 107,171	\$ 103,930	\$ 103,592
Research Services	97,993	97,145	96,066
Agency and Related Services	53,738	85,006	84,765
Facility Operations	80,188	87,219	87,252
<b>Total Appropriation</b>	<b>\$ 339,090</b>	<b>\$ 373,300</b>	<b>\$ 371,675</b>
<i>Redemption of Debt</i>	<u>-13,987</u>	<u>-15,201</u>	<u>-16,521</u>
<i>Net Budget Authority</i>	<b>\$ 325,103</b>	<b>\$ 358,099</b>	<b>\$ 355,154</b>
Office of Inspector General	4,242	4,100	4,100
Electronic Records Archives	71,856	0	0
Repairs and Restoration	11,824	9,100	8,000
NHPRC Grants Program	6,986	5,000	3,000
<b>Total Appropriations Request</b>	<b>\$ 433,998</b>	<b>\$ 391,500</b>	<b>\$ 386,775</b>
<i>Discretionary Net Budget Authority</i>	<b>\$ 420,011</b>	<b>\$ 376,299</b>	<b>\$ 370,254</b>
<b>Total Full-Time Equivalents (FTE)</b>	<b>3,289.0</b>	<b>3,266.0</b>	<b>3,254.0</b>

National Archives and Records Administration  
Summary of the FY 2013 Request

**Total Discretionary Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
11.1 Full-time, permanent.....	\$ 124,154	\$ 123,092	\$ 122,734
11.3 Other than full-time permanent.....	8,207	8,096	8,070
11.5 Other personnel compensation.....	3,577	3,520	3,509
11.8 Special personal services payments.....	248	266	265
12.1 Civilian personnel benefits.....	38,159	37,794	37,555
13.0 Benefits for former personnel.....	64	64	64
21.0 Travel and transportation of persons.....	2,040	2,062	1,808
22.0 Transportation of things.....	821	808	770
23.1 Rental payments to GSA.....	6,191	6,981	6,975
23.2 Rental payments to others.....	3,407	3,352	3,334
23.3 Communications, utilities, and misc. charges.....	14,755	14,512	14,370
24.0 Printing and reproduction.....	629	868	813
25.1 Advisory and assistance services.....	28,051	5,893	5,862
25.2 Other services from non-Federal sources.....	25,319	27,495	27,408
25.3 Other goods and services from Federal sources.....	18,038	22,043	21,968
25.4 Operation and maintenance of facilities.....	37,946	37,018	36,904
25.5 Research and development contracts.....	1,566	1,000	1,000
25.7 Operation and maintenance of equipment.....	20,951	33,595	33,547
26.0 Supplies and materials.....	3,434	3,363	3,345
31.0 Equipment.....	67,491	15,490	15,392
32.0 Land and structures.....	12,997	10,217	9,111
41.0 Grants, subsidies, and contributions.....	12,308	5,000	3,000
43.0 Interest and dividends.....	14,984	13,770	12,450
94.0 Financial transfers.....	13,987	15,201	16,521
<b>99.0 Obligations, appropriated.....</b>	<b>\$ 459,324</b>	<b>\$ 391,500</b>	<b>\$ 386,775</b>
<i>Subtotal, PC&amp;B.....</i>	<i>174,409</i>	<i>172,832</i>	<i>172,197</i>
<i>Subtotal, non-labor.....</i>	<i>284,915</i>	<i>218,668</i>	<i>214,578</i>

**Note:** FY 2011 actual obligations include obligations from multi-year appropriations for prior years.



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**National Archives and Records Administration**

**OPERATING EXPENSES**

**Fiscal Year 2013 Budget Request**

**CONTENTS**

Appropriation Language .....	2
Analysis of Language Provisions and Changes.....	2
Program Description .....	3
Explanation of Changes .....	4
Amounts Available for Obligation.....	5
Obligations by Object Classification .....	6
NARA Program Activities.....	7
Legislative, Presidential, and Museum Services .....	9
Research Services .....	11
Agency and Related Services .....	13
Facility Operations .....	18

### Appropriation Language

For necessary expenses in connection with the administration of the National Archives and Records Administration [ (including the Information Security Oversight Office) ] and archived Federal records and related activities, as provided by law, and for expenses necessary for the review and declassification of documents , [ and ] the activities of the Public Interest Declassification Board, and [ for necessary expenses in connection with ] the operations and maintenance of the electronic records archives [ to include all direct project costs associated with research, program management, and corrective and adaptive software maintenance ] , and for the hire of passenger motor vehicles, and for uniforms or allowances therefore, as authorized by law (5 U.S.C. 5901 et seq.), including maintenance, repairs, and cleaning, **\$371,675,000** [ : *Provided*, That all remaining balances appropriated in prior fiscal years under the heading “Electronic Records Archives” shall be transferred to this account ] .

### Analysis of Language Provisions and Changes

Language Provision [ delete ] / <u>insert</u>	Explanation
...[ (including the Information Security Oversight Office) ]...	This provision confers no additional authority or restrictions on NARA or ISOO, and serves only to identify ISOO as a component of NARA, where it has resided since 1995.
...and [ for necessary expenses in connection with ] the operations and maintenance of the electronic records archives [ to include all direct project costs associated with research, program management, and corrective and adaptive software maintenance ]...	This provision confers no additional authority or restrictions on NARA or the Electronic Records Archives (ERA) system.
...[ : <i>Provided</i> , That all remaining balances appropriated in prior fiscal years under the heading “Electronic Records Archives” shall be transferred to this account ]	This provision was provided in the FY 2012 appropriation to effectuate the one-time transfer of unobligated balances from the (former) separate appropriation for ERA, and does not need to be continued in FY 2013.

## Program Description

This appropriation provides for the operation of the Federal government's archives and records management activities, the preservation of permanently valuable historical records, and their access and use by the public. This appropriation also includes the Electronic Records Archives (ERA), which preserves, stores, and manages digital Federal government records for archival purposes, ensuring long-term access.

- *Legislative Archives, Presidential Libraries, and Museum Services.*—This activity provides for the Center for Legislative Archives and the Office of Presidential Materials, which provide records management services to the Congress and the White House; the Presidential Libraries of thirteen former Presidents; and nationwide education, outreach, and exhibits programs, including the National Archives Experience in Washington, DC.
- *Research Services.*—This activity provides for the archival storage and preservation of permanently valuable Federal government records and for continued access to those records by the researcher community and the general public at public research rooms in fifteen locations across the country and on-line, at [www.archives.gov](http://www.archives.gov).
- *Agency and Related Services.*—This activity provides for NARA services to other Federal agencies, including records management, appropriate declassification of classified national security information, oversight of the classification system and controlled, unclassified information, and improvements to the administration of the Freedom of Information Act by the Office of Government Information Services; the electronic records management activities of the ERA system; and publication of the Federal Register, U.S. Statutes-at-Large, and Presidential Papers.
- *Facility Operations.*—This activity provides for the operations and maintenance of NARA facilities, including interest payments and repayments of principal on debt associated with construction of the Archives II building in College Park, MD. Appropriations for repayments of principal (“redemption of debt”) are excluded from NARA budget authority.

**Explanation of Changes**  
 (Dollars in Thousands)

	<u>FTE</u>	<u>Budget Authority</u>
FY 2012 Enacted level.....	1,674.0	\$ 373,300
FY 2013 Appropriation request.....	<u>1,660.0</u>	<u>371,675</u>
Net Change.....	-14.0	-\$ 1,625

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	<u>FTE</u>	<u>Budget Authority</u>
<b>Program Decreases:</b>		
Savings from reprioritizing work and improving organizational alignment	-14.0	-\$ 925
Non-recur FY 2012 one-time funding for new archival space	—	<u>-700</u>
<b>Net Change.....</b>	<b>-14.0</b>	<b>-\$ 1,625</b>

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The FY 2013 budget requests an appropriation of **\$371,675 thousand and 1,660 FTE** for NARA Operating Expenses, including \$30,633 thousand and 35 FTE to operate the Electronic Records Archives system. This reflects a net decrease of -\$1,625 thousand and -14 FTE from the FY 2012 enacted level, including:

- A reduction of **-\$925 thousand and -14 FTE** through the reprioritization of work and realignment of resources to focus on the most critical needs of the agency.
- A reduction of **-\$700 thousand** from non-recurring one-time increases in FY 2012 for costs to acquire new archival storage space.

**Reimbursable Programs:** In FY 2013, NARA anticipates providing reimbursable services to other Federal agencies in the amount of \$2,225 thousand and 40 FTE. Reimbursable records services include specialized training and workshops on preserving potentially permanent Federal government records, declassification services, and other, related projects.

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Transfer in from expired accounts.....	\$ 221	\$ 0	\$ 0
Transfer in from trust fund accounts.....	\$ 585	\$ 0	\$ 0
Discretionary authority:			
<b>Annual appropriation.....</b>	<b>\$ 339,090</b>	<b>\$ 373,300</b>	<b>\$ 371,675</b>
Reimbursable authority:			
New spending authority collected.....	\$ 2,301	\$ 2,124	\$ 2,225
Change in uncollected payments.....	\$ 6	\$ 0	\$ 0
Subtotal, reimbursable authority.....	\$ 2,307	\$ 2,124	\$ 2,225
Unobligated balance, expiring.....	-\$ 786	\$ 0	\$ 0
 Total obligations.....	 \$ 341,417	 \$ 375,424	 \$ 373,900
<b>Obligations, appropriated.....</b>	<b>\$ 338,525</b>	<b>\$ 373,300</b>	<b>\$ 371,675</b>
Obligations, reimbursable.....	\$ 2,307	\$ 2,124	\$ 2,225
 <i>Net outlays</i>	 \$ 332,214	 \$ 339,291	 \$ 333,305

**NOTE:** (1) FY 2011 does not include \$90,268 thousand in obligations and 44 FTE for the Electronic Records Archives (ERA), as it was funded by a separate appropriation. Beginning with FY 2012, the ERA project is funded by NARA's Operating Expenses, reflecting full deployment of the system into operations and maintenance. (2) Transfer in from expired accounts represents half of FY 2010 unobligated balance.

National Archives and Records Administration  
 Operating Expenses

**Obligations by Object Classification**  
 (Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
11.1 Full-time, permanent.....	\$ 116,764	\$ 120,565	\$ 120,199
11.3 Other than full-time permanent.....	8,109	8,096	8,070
11.5 Other personnel compensation.....	3,212	3,307	3,296
11.8 Special personal services payments.....	181	179	178
12.1 Civilian personnel benefits.....	35,888	36,921	36,680
13.0 Benefits for former personnel.....	64	64	64
21.0 Travel and transportation of persons.....	1,939	2,017	1,768
22.0 Transportation of things.....	819	808	770
23.1 Rental payments to GSA.....	6,191	6,981	6,975
23.2 Rental payments to others.....	3,407	3,352	3,334
23.3 Communications, utilities, and misc. charges.....	14,735	14,504	14,362
24.0 Printing and reproduction.....	624	865	810
25.1 Advisory and assistance services.....	5,879	5,873	5,842
25.2 Other services from non-Federal sources.....	24,741	27,275	27,188
25.3 Other goods and services from Federal sources...	17,993	22,011	21,936
25.4 Operation and maintenance of facilities.....	36,490	37,018	36,904
25.5 Research and development contracts.....	0	1,000	1,000
25.7 Operation and maintenance of equipment.....	20,188	33,583	33,535
26.0 Supplies and materials.....	3,341	3,343	3,325
31.0 Equipment.....	8,438	15,450	15,357
32.0 Land and structures.....	1,136	1,117	1,111
43.0 Interest and dividends.....	14,984	13,770	12,450
94.0 Financial transfers.....	13,987	15,201	16,521
<b>99.0 Obligations, appropriated.....</b>	<b>\$ 339,110</b>	<b>\$ 373,300</b>	<b>\$ 371,675</b>
<i>Subtotal, PC&amp;B.....</i>	<i>164,218</i>	<i>169,132</i>	<i>168,487</i>
<i>Subtotal, non-labor.....</i>	<i>174,892</i>	<i>204,168</i>	<i>203,188</i>
99.0 Obligations, reimbursable.....	2,307	2,124	2,225
99.0 Total obligations.....	\$ 341,417	\$ 375,424	\$ 373,900

## NARA Program Activities

NARA's request for the Operating Expenses appropriation is presented in four new budget activities, which reflect the agency's recent reorganization. In FY 2011, NARA reorganized into six operating units focused on delivering service to key stakeholders and customer segments: Legislative Archives, Presidential Libraries, and Museum Services; Research Services; Agency Services; the Office of the Federal Register; Information Services; and Business Support Services.

NARA's reorganization is part of a broader strategy of transformation, designed to modernize the agency, improve customer service, and increase organizational efficiency and effectiveness. NARA has established new budget activities to request resources and report planned obligations in a structure that better reflects the agency's strategic direction and organizational structure.

- *Legislative Archives, Presidential Libraries, and Museum Services* focuses on the records needs of the White House and Congress, researchers who make use of Presidential and Congressional records, and museum visitors, educators, and students nationwide.
- *Research Services* provides world-class service to researchers and citizens wanting to access the archival holdings of the National Archives and preserves archival holdings for the benefit of future generations.
- *Agency and Related Services.*—This activity includes:
  - The Agency Services organization, which leads NARA in meeting the records management needs of all Federal agencies and represents the public's interest in the transparency of these records;
  - Electronic records management, preservation, and access activities provided through the Electronic Records Archives (ERA) system, which is managed by the Information Services organization; and
  - The Office of the Federal Register, which fulfills a variety of statutory responsibilities of the Archivist, including publication of the daily Federal Register, the Code of Federal Regulations, and the U.S. Statutes-at-Large.
- *Facility Operations.*—This activity provides for the operations and maintenance of NARA facilities, including interest payments and repayments of principal on debt associated with construction of the Archives II building in College Park, MD.

The Information Services and Business Support Services organizations provide tools, services, and expertise to support other NARA organizations' delivery of services to external stakeholders. Costs of these organizations – other than the costs of ERA – are allocated across NARA budget activities.



National Archives and Records Administration  
Operating Expenses

**Obligations by Program Activity**  
(Dollars in Thousands)

	FY 2011 Actual		FY 2012 Enacted		FY 2013 Request	
	FTE	Dollars	FTE	Dollars	FTE	Dollars
1. Legislative, Presidential, and Museum Services:						
Presidential Libraries	438.0	\$92,341	438.0	\$91,328	434.0	\$91,046
Legislative Archives, Presidential Materials, and Public Programs	<u>105.0</u>	<u>12,758</u>	<u>105.0</u>	<u>12,602</u>	<u>104.0</u>	<u>12,546</u>
Subtotal, LPM Services.....	543.0	\$105,099	543.0	\$103,930	538.0	\$103,592
2. Research Services:	752.0	\$96,972	738.0	\$97,145	731.0	\$96,066
3. Agency and Related Services:						
Agency Services	286.0	\$43,610	286.0	\$43,061	284.0	\$42,863
Electronic Records Archives	0.0	0	35.0	30,633	35.0	30,633
Federal Register	<u>72.0</u>	<u>11,209</u>	<u>72.0</u>	<u>11,312</u>	<u>72.0</u>	<u>11,269</u>
Subtotal, Agency and Related.....	358.0	\$54,819	393.0	\$85,006	391.0	\$84,765
4. Facility Operations.....	0.0	\$82,220	0.0	\$87,219	0.0	\$87,252
<b>Total, Appropriations Request.....</b>	<b>1,653.0</b>	<b>\$339,110</b>	<b>1,674.0</b>	<b>\$373,300</b>	<b>1,660.0</b>	<b>\$371,675</b>
Redemption of Debt		-\$13,987		-\$15,201		-\$16,521
<b>Net Budget Authority.....</b>	<b>1,653.0</b>	<b>\$325,123</b>	<b>1,674.0</b>	<b>\$358,099</b>	<b>1,660.0</b>	<b>\$355,154</b>

**NOTE:** FY 2011 does not include \$90,268 thousand in obligations and 44 FTE for the Electronic Records Archives (ERA), as it was funded by a separate appropriation. Beginning with FY 2012, the ERA project is funded by NARA's Operating Expenses, reflecting full deployment of the system into operations and maintenance.

**Legislative, Presidential, and Museum Services**

*(Dollars in Thousands)*

FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
\$105,099	\$103,930	\$103,592

NARA's FY 2013 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- \$68,732 thousand for the 14 Presidential Libraries, including \$30,046 thousand for the operations and maintenance of facilities;
- \$5,024 thousand for nationwide education, outreach, and exhibits programs;
- \$2,153 thousand for the Center for Legislative Archives, which provides records management services for Congress; and
- \$798 thousand for the Office of Presidential Materials, which provides records management guidance and courtesy storage for the incumbent administration and oversees special access and declassification at the Presidential Libraries.

An additional \$26,885 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

**Strategic Direction**

The *Legislative Archives, Presidential Libraries, and Museum (LPM) Services* organization maintains the official repository for the records of Congress and the Presidency; preserves an ever-growing and complex array of electronic records, media, and textual records; and provides trusted, timely reference to members of Congress, current and former Presidents, the Judiciary, academia, and the public. LPM Services preserves and provides access to historical materials for the White House and Congress, and researchers who make use of Presidential and Congressional records. LPM Services uses the larger holdings of the National Archives to promote understanding of the American experience for museum visitors, educators, and students across the nation.

*Management challenges and opportunities for FY 2013 and future years:*

- The Center for Legislative Archives has experienced a tremendous increase in the volume of textual and electronic records from legislative commissions. Records from recent commissions are subject to greater interest from government officials and the public, and NARA has experienced significant increases in the number of government special access requests and public inquiries for these materials. NARA is dedicating greater resources to retrieving, redacting, and managing the release of commission records, which draws limited staff resources away from an equally challenging and central responsibility of managing growing volumes of House and Senate records
- Special access requests to the Office of Presidential Libraries have increased five-fold in the past three years. Special access requests come from the incumbent President, Congress, and the Judiciary for access to Presidential records that are not yet publicly available. During the past three years, NARA has received 310 special access requests resulting in

the production of 197,000 pages of documents. By comparison, NARA received only 62 requests in the previous three years, producing 20,000 pages.

- NARA continues to address the significant backlog of unanswered Freedom of Information Act (FOIA) requests at Presidential Libraries covered by the Presidential Records Act (PRA). The PRA made Presidential records subject to disclosure through FOIA five years after the end of an administration, beginning with former President Reagan. Making Presidential records subject to FOIA has reduced the speed at which NARA can make Presidential records available to the public. NARA must review all Presidential papers page-by-page, which may require decades to determine which records may be made available to the public. Processing records in response to FOIA requests is even more time-consuming than processing the same number of pages in a systematic, archival fashion and does not produce discrete records collections that would be meaningful to the general public if released. Congress has provided additional resources to support FOIA processing in the PRA Libraries and NARA has made process improvements to speed the review of Presidential records; however, the four PRA libraries hold a total of 241 million pages of textual records, and NARA has only processed 19 million pages since passage of the PRA.
- New opportunities arise from legislative mandates in some States that have instituted testing requirements in civics, and educational institutions have sought partnerships with NARA to help prepare teachers to meet more rigorous standards. NARA has received overwhelmingly positive responses to resources the agency provides on-line to assist teachers in constructing innovative lessons with NARA holdings. At the same time, student trips to NARA field sites have decreased in recent years. These trends will drive expansion of NARA on-line education activities and new partnerships to better engage the public.

### **Strategies and Actions**

LPM Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2013:

1. By FY 2013, LPM Services will open the National Archives Experience 2 exhibit in Washington, DC, reflecting a newly-developed public image for the National Archives that represents an exceptional standard of quality and – for the first time – exhibit historical documents representing immigration, slavery and emancipation, and the development of universal suffrage.
2. By FY 2014, LPM Services will have a permanent and active program for identifying stakeholder expectations, collecting feedback from customers and the public on actual performance, and using data to streamline work processes and improve program delivery.
3. By FY 2016, LPM Services will have the capability to rapidly ingest and manage high volumes of data from Congress and independent commissions, quickly transfer them into secure electronic storage, make them available for official government agency special access requests and, where appropriate, release them to the public.

### **FY 2013 Budget Request**

The FY 2013 budget request provides \$103,592 thousand for LPM Services, a decrease of -\$338 thousand from the FY2012 enacted level, including *-\$240 thousand and -5 FTE in savings from reprioritizing work and improving organizational alignment.*

An additional decrease of -\$98 thousand is from reductions in allocated costs of management and administration.

## Research Services

(Dollars in Thousands)

FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
\$96,972	\$97,145	\$96,066

NARA's FY 2013 request for *Research Services* includes \$61,330 thousand for the archival storage and preservation of permanently valuable Federal government records and for continued access to those records by the researcher community and the general public.

An additional \$34,736 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

### Strategic Direction

The *Research Services* organization provides access to archival records for researchers and the public. Research Services employs broad, system-wide strategies to preserve Federal government records, engage customers through personalized service and expertise, and maximize the life of NARA holdings, reduce costs, and lessen impact on the environment. Program priorities are founded upon new, formalized methods of listening to, identifying, and meeting customer needs.

*Management challenges and opportunities for FY 2013 and future years:*

- Lack of adequate storage space is a serious and growing threat to ability of Research Services to accept new archival records and provide access to researchers and the public. NARA currently holds 4.2 million cubic feet of archived documents, but it holds an additional 27.5 million cubic feet of temporary records, of which approximately 20 percent or 5.5 million cubic feet will eventually be archived. When those additional records are transferred into the archives, Research Services will need to process them, review them for personally identifiable information (PII), national security, and other restrictions, and move them to space appropriate for archival storage.
- There is a large and growing public demand for on-line access to government information and records. In the first six months of FY 2011, on-line researchers conducted 39 million successful queries on NARA's Access to Archival Databases (AAD) system, compared to 1.6 million queries in FY 2006. An additional 2 million queries were conducted through the new Online Public Access (OPA) system over the same period. Use of original archived documents has remained fairly constant over time, but dramatically fewer researchers are visiting NARA facilities to access microfilm holdings.
- Researchers and the public expect access to more contemporary records. Contemporary records often contain PII, national security, and other restrictions that require screening and access review before being released to the public. These records are often inadequately described for easy access. Contemporary records are increasingly electronic, and NARA has limited expertise in processing, preserving, and providing access to these records.
- NARA has access to a variety of web technologies to make records accessible anywhere. NARA has developed relationships with private partners to assist in preparing, indexing, and digitizing records and making them available on-line. NARA has access to an active cadre of researchers and volunteers that assist in priority work and help improve reference

services. NARA is also using social media, including wikis, blogs, and tagging, to allow citizens to add descriptions to NARA holdings: This helps to improve citizen engagement while increasing the volume of Federal government records that are searchable and can be accessed on-line.

- The new Holdings Management System (HMS) will be deployed at all Research Services locations by FY 2014. HMS will provide a detailed shelf inventory of NARA holdings, and collect information on how often customers use NARA records. This information will allow Research Services to better understand its customers and incorporate their needs into work planning, including prioritizing processing, preservation, and digitization activities.

### **Strategies and Actions**

Research Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2013:

1. By FY 2014, Research Services will actively engage researchers and the public to understand their needs and expectations, leverage their expertise, and expand access to NARA records.
2. By FY 2014, Research Services will improve processing techniques to preserve and process NARA holdings more efficiently and provide researchers and the public with increased access and improved customer service.
3. By FY 2016, Research Services will have sufficient reference tools and protocols in place so that more NARA records will be preserved, described, and available on-line and researchers and the public can access NARA records effectively and efficiently from any location.
4. By FY 2020, Research Services and Business Support Services will have implemented an enterprise-wide researcher registration system that will provide researchers with secure access to all NARA facilities in a single registration process and with one researcher identification card.
5. By FY 2020, Research Services will develop an affordable, extensible, national archival storage solution so that 100 percent of archival holdings are stored in appropriate space.

### **FY 2013 Budget Request**

The FY 2013 budget request provides \$96,066 thousand for Research Services, a decrease of -\$1,079 thousand from the FY2012 enacted level, including the following:

- *-\$700 thousand to non-recur one-time FY 2012 funding to transport archival records to new storage space in St. Louis; and*
- *-\$253 thousand and -7 FTE in savings from reprioritizing work and improving organizational alignment.*

An additional decrease of -\$126 thousand is from reductions in allocated costs of management and administration.

**Agency and Related Services**

(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Agency Services	\$43,610	\$43,061	\$42,863
Electronic Records Archives	\$0	\$30,633	\$30,633
Federal Register	\$11,209	\$11,312	\$11,269
Total	\$54,819	\$85,006	\$84,765

**NOTE:** FY 2011 does not include \$90,268 thousand in obligations for the Electronic Records Archives (ERA), as it was funded by a separate appropriation. Beginning with FY 2012, the ERA project is funded by NARA's Operating Expenses, reflecting full deployment of the system into operations and maintenance.

NARA's FY 2013 request for *Agency and Related Services* includes:

- \$27,242 thousand for the Agency Services organization, including \$3,729 thousand for the Information Security Oversight Office, \$7,659 thousand for the National Declassification Center, and \$1,629 thousand for the Office of Government Information Services;
- \$30,633 thousand for the electronic records management activities of the Electronic Records Archive system; and
- \$7,253 thousand for the Office of the Federal Register.

An additional \$19,637 thousand is the allocated cost of management and administration, including information technology, human resources, procurement, and financial management.

**Agency Services Strategic Direction**

The *Agency Services* organization leads NARA's efforts to service the ongoing records management needs of Federal agencies and to represent the public's interest in the accountability and transparency of government records. Agency Services is the authoritative source for records management policy and guidance, records appraisal, and records management services to assist other agencies in appropriately managing their records. Agency Services provides leadership and guidance in safeguarding classified national security information and controlled unclassified information, and in the appropriate declassification and public release of this information. Agency Services assures that agencies preserve Federal government records that document the national experience and protect legal rights.

*Management challenges and opportunities for FY 2013 and future years:*

- Recent, high-profile allegations of the destruction of investigative records by Federal agencies have indicated a lack of records disposition schedules for many government records. Many agency officials are unfamiliar with their respective agency's records

management responsibilities. NARA is expanding its curriculum of records management training and is developing new, on-line courses to reach a broader audience across the Federal government.

- Agency records managers frequently lack the resources and support to fulfill their records management responsibilities. In FY 2013, Agency Services is focusing greater effort on advocating with senior leaders of Federal agencies to enhance the responsibility of agency records managers. NARA will develop the business case for an effective records management program in each agency, led by an empowered records officer, and convey this message to agency senior leaders.
- External stakeholders expect NARA to be more aggressive in ensuring that Federal agencies comply with statutory recordkeeping requirements. The Government Accountability Office (GAO) emphasized the need for increased inspections of agency records management programs. Agency records management staff also look to NARA to provide assurance in addressing weaknesses. Agency Services has recently conducted some limited-scope inspections at other agencies and is planning to expand and improve these activities.
- NARA has shown progress in processing classified records for public release, but the backlog continues to grow. Over the past 18 months, NARA has significantly reduced the 418 million page backlog of previously reviewed records that existed in January 2010. NARA has established new processes to expedite review of classified documents and has improved collaboration with other agencies in the review of their documents, resulting in 32 million pages being removed from the declassification backlog, including nearly 17 million pages that have been released to the public. However, the declassification challenges facing NARA continue to grow by tens of millions of pages each year, and most new records require a more intensive declassification review and processing than the existing backlog.
- There is a growing need to find new, more cost-effective means to administer the Freedom of Information Act (FOIA). In FY 2010 alone, Federal agencies reported spending \$400 million to process nearly 600,000 FOIA requests, and received over 10,000 administrative appeals from denials of access. Agencies spent over \$22 million on litigation-related activities within the same timeframe. This environment has led to increased acceptance of the dispute resolution services offered by the Office of Government Information Services (OGIS). OGIS facilitates mediation as a cost effective tool for resolving FOIA disputes and provides alternatives to litigation.

### **Agency Services Strategies and Actions**

Agency Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2013:

1. By FY 2013, Agency Services will streamline its processes for records scheduling and appraisal to increase the number of records schedules approved and reduce cycle time for review and approval.
2. By FY 2013, Agency Services, in consultation with Research Services, will establish an ongoing reappraisal process to review NARA's archival holdings to validate that they have permanent historical value.

3. By FY 2013, Agency Services will lead the development of business rules and system requirements for automated systems to: (a) review, redact, and publicly release declassified government information and (b) track and process FOIA requests.
4. By FY 2015, Agency Services will improve government-wide understanding of records management responsibilities by working collaboratively with agency records management staff to assess the impact of current training, develop new training, and offer on-line records management training.

### **Agency Services FY 2013 Budget Request**

The FY 2013 budget request provides \$84,765 thousand for Agency Services, a decrease of -\$241 thousand from the FY2012 enacted level, including the following:

- *-\$169 thousand and -2 FTE in savings from reprioritizing work and improving organizational alignment.*

An additional decrease of -\$72 thousand is from reductions in allocated costs of management and administration.

### **Electronic Records Archives and Information Services Strategic Direction**

The *Electronic Records Archives* (ERA) system is a repository for electronic Presidential, Congressional, and Federal agency records that stores files in any format for future access using any hardware or software. The ERA system is NARA's primary strategy for addressing the challenge of storing, preserving, and providing public access to electronic records. ERA is managed by the Information Services organization, in collaboration with Agency Services, Research Services, and the Presidential Libraries.

The *Information Services* organization is a strategic partner with NARA programs, supporting diverse activities through the application of information technology and sound information management practices. Information Services provides information products and services to meet customer requirements, functions as one highly skilled and adaptable team, and strives for continuous improvement. Information Services evaluates new technologies and promotes research opportunities that support preservation of and access to Federal government records to assist NARA in facing the challenges of modern records management and archival science.

*Management challenges and opportunities for FY 2013 and future years:*

- Beginning in FY 2012, ERA will transition from a development environment into operations and maintenance. NARA will continue to engage agencies in all three branches of government to encourage them to use ERA to transfer their permanently valuable electronic records to NARA. Through August 2011, NARA had received over 400 terabytes of record data for submission into ERA. NARA is focused on increasing the volume of electronic records in ERA, and has set aggressive goals for transferring data. In FY 2012 and FY 2013, NARA plans to accept a minimum of ten terabytes, or 4.4 billion pages of records each quarter.
- By the end of FY 2012, Federal agencies will be required to use ERA for scheduling their records to be archived and transferring electronic records to NARA. NARA is coordinating



through the Chief Information Officers' Council to ensure that every agency has an assigned ERA coordinator with trained personnel to identify permanently valuable Federal government records and add them to the ERA system.

- The public expects government information and services to be available on-line and delivered through their channel of choice. For an increasing number of Americans, the primary communications medium is mobile devices. NARA is already meeting this trend by increasing the volume of its holdings that are available on-line, including digitized analog collections, "born-digital" records, and web exhibits. NARA is evolving its information management strategy to quickly provide access to archival holdings on new technology platforms and in new formats, and make those holdings available in perpetuity.
- Federal government data sets are growing in size and complexity, and the transport of this data is an emerging threat to records management and archiving. Today, large data transfers require physical movement and transfer of storage devices. The future state for effective data management across the government is to manage data in place, instead of moving it. Cloud storage offers the opportunity to transfer custody and control of Federal government records and the associated metadata without physically moving them. NARA will work with cloud providers and agencies to identify lower-cost options to store inactive records for occasional access. NARA will then offer this service with the added value of NARA's proven records management processes and expertise. If the records are later appraised as permanent, they could be seamlessly transferred into NARA's legal custody.

### **Information Services Strategies and Actions**

Information Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2013:

1. By FY 2013, Information Services and Research Services will jointly develop a digital preservation strategy that optimizes NARA digital preservation processes and methodologies.
2. By FY 2014, Information Services, through partnerships and on-site facilities, will streamline the digitization of analog holdings and implement a "day-forward digitization process" to maximize on-line access to archival records content and metadata.
3. By FY 2016, Information Services will have integrated systems to effectively manage Federal government records through the records lifecycle by providing effective transfer tools and an architecture that minimizes the need to physically move data.

### **Information Services FY 2013 Budget Request**

The FY 2013 budget request provides \$30,633 thousand for the ERA system. Funds requested in FY 2013 will be used to support the ERA data center at Rocket Center, WV, provide for maintenance of hardware and software, and provide for a small staff and contractor support for networking, maintenance, IT security, backup and recovery, and help desk functions for ERA.

By FY 2013, the ERA system will have been deployed to operations and maintenance for a year, all Federal agencies will have adopted it for transferring electronic records, and any significant coding errors requiring immediate attention should all have been identified and resolved. NARA will continue to correct performance and operational issues through scheduled releases and upgrades using operations and maintenance funding.

## **Federal Register Strategic Direction**

The *Office of the Federal Register* supports transparency and accountability in Government by providing the public with the opportunity to review and comment on proposed rules and regulations of all Federal agencies, as well as publishing final rules, notices of Federal agencies and organizations, Executive Orders and other Presidential documents, and the public laws of the United States. The Office of the Federal Register also performs ministerial duties associated with the functions of the Electoral College and ratification of Constitutional Amendments. The Office of the Federal Register is committed to leveraging innovative information technology to modernize the Federal Register system, which will make government more transparent, promote civic literacy and public engagement, and improve government efficiency and effectiveness.

### *Management challenges and opportunities for FY 2013 and future years:*

- Citizens, associations of citizens and private enterprises, and other Federal agencies expect government information to be on-line and available through their channel of choice which is, increasingly, mobile devices. In FY 2011, the Office of the Federal Register realized 320 million on-line retrievals of its materials, while subscriptions to printed publications declined by 27 percent.
- Recently, the Government Printing Office (GPO) deployed the Federal Digital System (FDsys), an on-line content management system for all GPO products. The Office of the Federal Register is a statutory partner with GPO, and FDsys offers new opportunities to develop “web-first” publications that are designed to be posted directly to the Internet and printed only when required by a customer.
- Recent legislation asked the Government Accountability Office to study the feasibility of abolishing GPO and dividing its responsibilities between GSA and the Library of Congress. NARA is completely reliant on GPO to provide both work processes and IT infrastructure for production of the daily Federal Register, Code of Federal Regulations, and other print and on-line publications of the Office of the Federal Register. GPO provides all of the composition activities, rendering, publishing, printing, and electronic hosting for Federal Register publications, worth approximately \$30 million per year. GPO is reimbursed by other agencies, who pay GPO for publication services through the GPO revolving fund.

## **Federal Register Strategies and Actions**

In FY 2013, the Office of the Federal Register will focus planning efforts and resource allocations on developing a web-based production system to publish all of its statutory publications and provide easy access to critical government information for the public.

## **Federal Register FY 2013 Budget Request**

The FY 2013 budget request provides \$11,269 thousand for the Office of the Federal Register, a decrease of -\$43 thousand from the FY2012 enacted level, including *-\$28 thousand in savings from reprioritizing work and improving organizational alignment.*

An additional decrease of -\$15 thousand is from reductions in allocated costs of management and administration.

**Facility Operations**  
(Dollars in Thousands)

FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
\$82,220	\$87,219	\$87,252

NARA's FY 2013 request for *Facility Operations* includes:

- \$58,281 thousand for rent, utilities, and other costs of operations and maintenance at three NARA-owned Federal buildings and 44 leases; and
- \$28,971 thousand for interest payments and repayments of principal on debt held by the public that was issued to finance the construction of the Archives II building in College Park, MD. \$12,450 thousand is provided for interest payments and \$16,521 thousand is provided for repayments of principal.

This budget activity does not include the costs of operating and maintaining Presidential libraries, which are reported in the Legislative Archives, Presidential Libraries, and Museum Services activity.

**Facility Operations and Business Support Services Strategic Direction**

*Facility Operations* provides the physical infrastructure necessary to preserve NARA's holdings for future generations. NARA archived documents and artifacts must be maintained in a controlled environment with constant temperature, humidity, and air quality 24 hours per day, 365 days per year. Facility Operations provides safe and sustainable facilities to store and protect permanently valuable NARA holdings and provide inviting, productive work space for NARA employees. NARA facilities are managed by the Business Support Services organization.

The *Business Support Services* organization supports the NARA mission by providing efficient and effective centralized administrative services, including IT infrastructure and network support, project assistance, acquisitions, financial management, physical security, and facility and property management. Business Support Services works in collaboration with an Internal Customer Service Council to ensure that all NARA programs receive the assistance they need, regardless of geographic location.

*Management challenges and opportunities for FY 2013 and future years:*

- NARA requires more internet bandwidth and improved IT infrastructure to reliably offer large volumes of archival holdings to the public on-line. Recent releases of high-interest data sets, such as the Pentagon Papers, saturated NARA's internet connection and interrupted NARA's internet service. NARA has recently completed several projects that will improve the security and reliability of its internet access, including the Trusted Internet Connection (TIC) and multiprotocol label switching, a scalable mechanism to improve data transfer over networks. NARA will continue to deploy new technologies and information management

practices to expand the capacity and capability of the agency IT and telecommunications infrastructure.

- Recent high-profile records thefts highlight the importance of a robust holdings protection program. NARA has improved employee training in holdings protection, instituted exit screenings to mitigate the risk of loss from internal sources, and is collaborating with partner institutions to share best practices in holdings protection. NARA is developing a nationwide facility assessment program to refine holdings protection procedures and is exploring the use of Radio Frequency Identification (RFID) technology tracking systems to maintain accountability for special IT media and box-level inventories.
  
- NARA facilities are aging and subject to increasingly stringent sustainability standards. NARA's archival holdings grow every year, and require continual expansion of records storage space, even as the Federal government is seeking to reduce and consolidate real property assets. NARA is currently exploring the acquisition of new, underground archival storage space: This request will allow NARA to consolidate newly archived records into a central repository and, because underground space has a naturally lower temperature and humidity, it will use less energy and cost less to operate than above-ground alternatives. NARA is addressing sustainability requirements in existing facilities by installing advanced utility meters to allow for real-time demand management, and installing new on-site energy production.

### **Strategies and Actions**

Business Support Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2013:

1. By FY 2015, Business Support Services will provide a reliable, resilient, and modern IT infrastructure to support NARA business applications, electronic records management, and on-line access, which is demonstrated by a 90 percent satisfaction rating for IT infrastructure support services.
  
2. By FY 2020, Business Support Services will procure the facilities necessary to provide secure, resilient, and appropriate space for 100 percent of NARA's archival holdings.
  
3. By FY 2020, Business Support Services will lead NARA in reducing agency greenhouse gas emissions by 10 percent from FY 2008 levels and will reduce facility energy intensity by 35 percent against the FY 2003 baseline.

### **FY 2013 Budget Request**

The FY 2013 budget request provides \$87,252 thousand for Facility Operations, an increase of \$33 thousand from the FY2012 enacted level, from augments in allocated costs of management and administration.

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**National Archives and Records Administration**

**OFFICE OF INSPECTOR GENERAL**

**Fiscal Year 2013 Budget Request**

**CONTENTS**

Appropriation Language .....	2
Program Description.....	2
Explanation of Changes .....	3
Summary of the Request.....	3
Amounts Available for Obligation.....	4
Obligations by Object Classification .....	5

### **Appropriation Language**

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Reform Act of 2008, Public Law 110–409, 122 Stat. 4302–16 (2008), and the Inspector General Act of 1978 (5 U.S.C. App.), and for the hire of passenger motor vehicles, **\$4,100,000.**

### **Program Description**

The Office of Inspector General (OIG) provides independent audits and investigations as well as serving as an independent, internal advocate to promote economy, efficiency, and effectiveness at the National Archives and Records Administration (NARA). The Inspector General Act of 1978, as amended, established the OIG's independent role and general responsibilities. The Inspector General reports to the Archivist of the United States. The OIG evaluates NARA's performance, makes recommendations for improvements, and follows up to ensure economical, efficient, and effective operations and compliance with laws, policies, and regulations.

**Explanation of Changes**  
(Dollars in Thousands)

	<u>FTE</u>	<u>Budget Authority</u>
FY 2012 Enacted level.....	24.0	\$ 4,100
FY 2013 Appropriation request.....	<u>24.0</u>	<u>4,100</u>
Net Change.....	0.0	\$ 0

**Summary of the Request**

The FY 2013 budget requests \$4,100 thousand and 24 FTE for the Office of Inspector General (OIG). Funding for this appropriation provides for the salary and benefits of OIG staff and for necessary travel, training, contractual services, investigative equipment, and supplies to support the OIG mission.

- The OIG request includes \$70 thousand for staff training in FY 2013, to be split equally between auditors and special agents. The Government Accountability Office (GAO) recommends all auditors receive at least 80 hours of training every two years. Auditors require training in: contract and grant auditing, performance management, fraud auditing, information technology security, IT project management, and network and applications management. Special agents receive annual law enforcement training in: firearms and self-defense, forensics for investigations, and procurement and white collar fraud training. Management, legal, and administrative staff also require periodic training to remain proficient and effective at their jobs.
- NARA's OIG supports the interagency Council of Inspectors General on Integrity and Efficiency (CIGIE). NARA's FY 2011 CIGIE contribution was \$3,470. NARA expects to contribute approximately \$11,644 for the CIGIE in FY 2013.

**Strategic Direction**

The OIG ensures that NARA safeguards and preserves Federal government records while providing the American people with access to the essential documentation of their rights and the actions of their government. The OIG accomplishes this by combating fraud, waste, and abuse through high-quality, objective audits and investigations and by serving as an independent, internal advocate for the economy, efficiency, and effectiveness of NARA and its operations. The OIG evaluates NARA's performance, makes recommendations for improvement, and follows up to ensure economical, efficient, and effective operations and compliance with current laws, policies, and regulations.

OIG investigations cover all aspects of NARA operations at 44 facilities nationwide. NARA holds the historic records of American democracy and almost 600,000 artifacts and Presidential gifts. NARA holds millions of cubic feet and an ever growing electronic repository of classified and highly sensitive records, including those of the 9/11 and Warren Commissions, military and civilian personnel records, and Presidential records. OIG investigators are deputized and act



with full law enforcement authority executing search warrants, seizing evidence, and making arrests.

OIG criminal investigations encompass a broad range of criminal activity including theft of holdings and assets, embezzlement, espionage, release of classified information, ethics violations, the loss of personally identifiable information (PII), compromise of the NARA IT network, sensitive compartmental information facility (SCIF) violations, and procurement fraud and inappropriate conduct of NARA employees and officials .

OIG auditors must review and evaluate multi-million programs that NARA executes through a staff of over 3,000 FTE. Currently, the OIG's capacity to provide the necessary coverage is limited by staffing constraints. Because of this, programs which could demand an entire team of auditors in other Federal entities are routinely left in the hands of a single auditor at NARA. Responsible NARA stewardship over records from creation throughout the entire life-cycle brings economy and efficiency to government and supports transparency and accountability for American democracy.

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Discretionary authority:			
<b>Annual appropriation</b> .....	<b>\$ 4,242</b>	<b>\$ 4,100</b>	<b>\$ 4,100</b>
Unobligated balance, expiring.....	-\$ 104	\$ 0	\$ 0
<b>Total obligations</b> .....	<b>\$ 4,138</b>	<b>\$ 4,100</b>	<b>\$ 4,100</b>
<i>Net outlays</i>	<i>\$ 4,177</i>	<i>\$ 4,040</i>	<i>\$ 4,036</i>

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
11.1 Full-time, permanent.....	\$ 2,473	\$ 2,527	\$ 2,535
11.3 Other than full-time permanent.....	7	0	0
11.5 Other personnel compensation.....	191	213	213
11.8 Special personal services payments.....	67	87	87
12.1 Civilian personnel benefits.....	870	873	875
21.0 Travel and transportation of persons.....	39	45	40
22.0 Transportation of things.....	0	0	0
23.3 Communications, utilities, and misc. charges.....	9	8	8
24.0 Printing and reproduction.....	3	3	3
25.1 Advisory and assistance services.....	149	20	20
25.2 Other services from non-Federal sources.....	216	220	220
25.3 Other goods and services from Federal sources..	32	32	32
25.7 Operation and maintenance of equipment.....	11	12	12
26.0 Supplies and materials.....	21	20	20
31.0 Equipment.....	50	40	35
<b>99.0 Total obligations.....</b>	<b>\$ 4,138</b>	<b>\$ 4,100</b>	<b>\$ 4,100</b>
<i>Subtotal, PC&amp;B.....</i>	<i>3,608</i>	<i>3,700</i>	<i>3,710</i>
<i>Subtotal, non-labor.....</i>	<i>530</i>	<i>400</i>	<i>390</i>

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**National Archives and Records Administration**

**REPAIRS AND RESTORATION**

**Fiscal Year 2013 Budget Request**

**CONTENTS**

Appropriation Language .....	2
Analysis of Language Provisions and Changes.....	2
Program Description .....	3
Explanation of Changes .....	3
Summary of the Request.....	3
Amounts Available for Obligation.....	4
Obligations by Object Classification .....	4

**Appropriation Language**

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage for holdings, **\$8,000,000**, to remain available until expended [ : *Provided*, That from amounts made available for the Military Personnel Records Center requirement study under this heading in Public Law 108–199, the remaining unobligated balances shall be available to implement the National Archives and Records Administration Capital Improvement Plan: Provided further, That from amounts made available under this heading in Public Law 111–8 for construction costs and related services for building the addition to the John F. Kennedy Presidential Library and Museum and other necessary expenses, including renovating the Library as needed in constructing the addition, the remaining unobligated balances shall be available to implement the National Archives and Records Administration Capital Improvement Plan ] .

**Analysis of Language Provisions and Changes**

Language Provision [ delete ] / <u>insert</u>	Explanation
<p>... [ : <i>Provided</i>, That from amounts made available for the Military Personnel Records Center requirement study under this heading in Public Law 108–199, the remaining unobligated balances shall be available to implement the National Archives and Records Administration Capital Improvement Plan: Provided further, That from amounts made available under this heading in Public Law 111–8 for construction costs and related services for building the addition to the John F. Kennedy Presidential Library and Museum and other necessary expenses, including renovating the Library as needed in constructing the addition, the remaining unobligated balances shall be available to implement the National Archives and Records Administration Capital Improvement Plan ]</p>	<p>This provision was provided in the FY 2012 appropriation to effectuate the one-time transfer of unobligated balances in prior-year appropriations and does not need to be continued in FY 2013 and future years.</p>

**Program Description**

This appropriation provides for the repair, alteration, and improvement of Archives facilities and Presidential Libraries nationwide. Funding allows the National Archives and Records Administration (NARA) to maintain a safe environment for public visitors and researchers, NARA employees, and the permanently valuable Federal government records stored in NARA buildings.

**Explanation of Changes**

*(Dollars in Thousands)*

	<u>Budget Authority</u>
FY 2012 Enacted level.....	\$ 9,100
FY 2013 Appropriation request.....	<u>8,000</u>
Net Change.....	-\$ 1,100

**Summary of the Request**

NARA requests \$8 million for Repairs and Restoration of NARA-owned Federal buildings in FY 2013, a decrease of -\$1,100 thousand from the FY 2012 enacted level. This program provides for renovations to NARA buildings necessary to maintain health and safety standards for the occupants, preserve archival documents stored in NARA facilities, and protect the value of government real property assets.

NARA has two buildings listed on the National Register of Historic Places: the National Archives building, first occupied in 1935, and the Franklin D. Roosevelt Library in Hyde Park, NY, dedicated in 1941. All NARA buildings store and protect historically valuable and irreplaceable documents. Each year, approximately 3 million Americans visit NARA facilities to conduct research, attend conferences, view exhibits, and participate in educational programs.

The FY 2013 Repairs and Restoration appropriation provides for repairs and alterations of the 17 Federal buildings that NARA owns, operates, and maintains: the National Archives in Washington, DC, the Archives II building at College Park, MD, the Southeast Regional Archives building located outside of Atlanta, GA, and fourteen Presidential Libraries and Museums across the U.S., including the new George W. Bush Presidential Library, to be occupied in FY 2013.

Repairs and Restoration funding provides for building repair projects of \$1.5 million or less, necessary to maintain building systems to meet archival storage requirements, to keep interiors and exteriors in a proper state of repair, and to make them safe and efficient buildings for use by employees, researchers, and visitors. Projects are prioritized for funding based on annual assessments performed by NARA engineers, which focus on protection of archival documents and artifacts, health and safety of building occupants, and cost effectiveness.

National Archives and Records Administration  
Repairs and Restoration

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Unobligated balance carried forward.....	\$ 37,729	\$ 33,653	\$ 33,653
Unobligated balance permanently reduced.....	-\$ 3,198	\$ 0	\$ 0
Recoveries of prior-year obligations.....	\$ 798	\$ 0	\$ 0
Discretionary authority:			
<b>Appropriation.....</b>	<b>\$ 11,824</b>	<b>\$ 9,100</b>	<b>\$ 8,000</b>
Unobligated balance, available in future years.....	-\$ 33,653	-\$ 33,653	-\$ 33,653
<b>Total obligations.....</b>	<b>\$ 13,500</b>	<b>\$ 9,100</b>	<b>\$ 8,000</b>
<i>Net outlays</i>	\$ 29,367	\$ 16,095	\$ 15,100

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
25.1 Advisory and assistance services.....	\$ 457	\$ 0	\$ 0
25.2 Other services from non-Federal sources.....	47	0	0
25.4 Operation and maintenance of facilities.....	1,045	0	0
26.0 Supplies and materials.....	21	0	0
31.0 Equipment.....	69	0	0
32.0 Land and structures.....	11,861	9,100	8,000
<b>99.0 Total obligations.....</b>	<b>\$ 13,500</b>	<b>\$ 9,100</b>	<b>\$ 8,000</b>

**National Archives and Records Administration**  
**NATIONAL HISTORICAL PUBLICATIONS**  
**AND RECORDS COMMISSION GRANTS PROGRAM**

**Fiscal Year 2013 Budget Request**

**CONTENTS**

Appropriation Language .....	2
Program Description.....	2
Explanation of Changes .....	3
Summary of the Request.....	3
Amounts Available for Obligation.....	5
Obligations by Object Classification .....	5



**Appropriation Language**

For necessary expenses for allocations and grants for historical publications and records as authorized by 44 U.S.C. 2504, **\$3,000,000**, to remain available until expended.

**Program Description**

This appropriation provides funding for grants to preserve and publish non-Federal records that document American history. Funding provided supports programs and initiatives publish, preserve, and make accessible important historical documents.

**Explanation of Changes**  
(Dollars in Thousands)

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	Budget <u>Authority</u>
FY 2012 Enacted level.....	\$ 5,000
FY 2013 Appropriation request.....	<u>3,000</u>
Net Change.....	-\$ 2,000

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**Summary of the Request**

The FY 2013 budget requests \$3,000 thousand for grants to non-Federal entities, to support the mission and projects of the National Historical Publications and Records Commission (NHPRC). Funds requested will be dedicated exclusively as grants to catalog, preserve, and make publicly available important historical documents held in State, local government, and private archives and records repositories. An additional \$1,448 thousand in the NARA Operating Expenses appropriation provides for the salaries and expenses of administering the NHPRC grants program.

**Strategic Direction**

The NHPRC encourages the collection, preservation, and publication of the papers of “outstanding citizens of the United States, and other documents as may be important for an understanding and appreciation of the history of the United States.” The NHPRC matching grants program improves the understanding of America’s past by promoting the identification, preservation, and dissemination of essential historical documents through: collaboration between Federal, State, and local governments; a national agenda of electronic records research and development; and the publication of major documentary collections. Grant awards are investments in the nation’s documentary heritage that leverage at least an equal amount of investment from non-Federal sources.

*Management challenges and opportunities for FY 2013 and future years:*

- Recent studies indicate that an estimated 14,000 historical record repositories exist in the United States. These repositories and tens of thousands more county and local government records archives serve as the nation’s memory and its archival infrastructure, spanning every State and Territory. The members of this archival network are active stewards for tens of millions of linear feet of historical records, millions of historic photographs, and special format materials as audio recordings, maps, architectural drawings, and films.
- A large percentage of the materials held at non-Federal repositories require a significant investment in their preservation, cataloging, and description to facilitate public access and ensure their long-term viability. The NHPRC is the only grant-making entity, public or private, whose exclusive mission is to promote the preservation of and access to the nation’s historical records.

## Strategies and Actions

In FY 2013, the NHPRC expects to decrease the number of grants awarded. The NHPRC will maintain base support for a select number of grant programs and initiatives to publish, preserve, and provide access to the nation's most important historical documents, including:

- *Documenting Democracy: Access to Historical Records Projects* to reveal "hidden collections" in archives by arranging, preserving, and cataloging them for public use;
- *Digitizing Historical Records* to provide electronic access to nationally significant historical record collections and make the digital versions freely available on the Internet;
- *State and National Archival Partnership (SNAP) Projects* to strengthen archives and historical records programs in each of the states and build a national archival network; and
- *Publishing Historical Records* to publish historical records of national significance, including the papers of the Founding Era.

The NHPRC will continue to oversee its long-term *Founding Fathers* project, which is making the papers of the Founding Fathers freely available online in a modern (transcribed) format. The *Founders Online*, a free web resource, will include the hundreds of volumes of the papers of six of the political leaders and statesmen who took won American independence by signing the Declaration of Independence, taking part in the American Revolutionary War, and establishing the United States Constitution: Washington, Adams, Jefferson, Madison, Hamilton, and Franklin. This web resource will include access to the thousands of previously unpublished papers of these individuals via transcription from the original documents. Substantial portions of this content will be made publicly available for free as the work on each section of materials is completed. NARA anticipates that the web site and all content will be available in FY 2015.

National Archives and Records Administration  
National Historical Publications and Records Commission Grants Program

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Unobligated balances carried forward.....	\$ 5,348	\$ 735	\$ 735
Recoveries of prior-year obligations.....	\$ 709	\$ 0	\$ 0
Discretionary authority:			
<b>Annual appropriation</b> .....	<b>\$ 6,986</b>	<b>\$ 5,000</b>	<b>\$ 3,000</b>
Unobligated balance, available in future years.....	-\$ 735	-\$ 735	-\$ 735
<b>Total obligations</b> .....	<b>\$ 12,308</b>	<b>\$ 5,000</b>	<b>\$ 3,000</b>
<i>Net outlays</i>	<i>\$ 8,245</i>	<i>\$ 11,133</i>	<i>\$ 9,300</i>

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
41.0 Grants, subsidies, and contributions.....	\$ 12,308	\$ 5,000	\$ 3,000
<b>99.0 Total obligations</b> .....	<b>\$ 12,308</b>	<b>\$ 5,000</b>	<b>\$ 3,000</b>

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**National Archives and Records Administration**

**SPECIAL FUNDS**

**Fiscal Year 2013 Budget Request**

**CONTENTS**

Records Center Revolving Fund.....	2
Authorizing Language .....	2
Program Description .....	2
Explanation of Changes .....	3
Income/Cost Comparison.....	3
Obligations by Object Classification .....	4
National Archives Gift Fund.....	5
Authorizing Language .....	5
Program Description .....	5
Explanation of Changes .....	6
Amounts Available for Obligation .....	6
Obligations by Object Classification .....	7
National Archives Trust Fund .....	8
Authorizing Language .....	8
Program Description .....	8
Explanation of Changes .....	9
Amounts Available for Obligation .....	9
Obligations by Object Classification .....	10

## **Records Center Revolving Fund**

### **Authorizing Language**

Authorization of the Records Center Revolving Fund is codified as 44 U.S.C. § 2901 *note*. This provision authorizes the National Archives and Records Administration (NARA) to operate a full cost recovery revolving fund to provide for the expenses of storage and related services for temporary and pre-archival Federal government records at NARA Records Centers. Operations of NARA Records Centers are financed by user charges collected from other Federal agencies for storage and related services received. Once collected, funds are available for obligation without fiscal year limitation.

### **Program Description**

This full cost recovery revolving fund provides for the storage and related services that NARA Federal Record Centers provide to Federal agency customers. NARA Federal Records Centers provide low-cost, high-quality storage and related services, including: transfer, reference, re-file, and disposal services for temporary and pre-archival Federal government records.

**Explanation of Changes**

*(Dollars in Thousands)*

	<u>FTE</u>	<u>Obligations</u>
FY 2012 Current.....	1,418.0	\$ 188,178
FY 2013 Budget.....	<u>1,418.0</u>	<u>191,055</u>
Net Change.....	0.0	\$ 2,877

Total obligations for FY 2013 are estimated at \$191,055 thousand. This represents a net increase of \$2,877 thousand from the FY 2012 estimated obligations. NARA Federal Records Centers (FRC) provide low-cost storage for over 27.5 million cubic feet of Federal government records that are current but inactive. FRCs provide a variety of related services, including: loan or return of records to the agency of origin; authentication of reproductions of official records; and provision of information from records. FRCs dispose of records of that no longer have current or historical value, and transfer into archival custody records with permanent historical value. FRCs also provide technical assistance workshops and advice on records creation, maintenance, storage, disposition, and vital records.

**Income/Cost Comparison**

*(Dollars in Thousands)*

	FY 2011 Actual	FY 2012 Current	FY 2013 Budget
Revenue.....	\$ 182,521	\$ 186,273	\$ 193,718
Expenses.....	\$ 177,797	\$ 180,861	\$ 188,095
<b>Net Operating Results.....</b>	<b>\$ 4,724</b>	<b>\$ 5,412</b>	<b>\$ 5,623</b>



**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Current	FY 2013 Budget
11.1 Full-time, permanent.....	\$ 49,817	\$ 50,315	\$ 51,495
11.3 Other than full-time permanent.....	11,144	11,306	11,995
11.5 Other personnel compensation.....	3,376	3,527	3,970
11.8 Special personal services payments.....	29	29	29
12.1 Civilian personnel benefits.....	18,237	18,324	19,576
13.0 Benefits for former personnel.....	356	346	346
21.0 Travel and transportation of persons.....	1,039	1,045	995
22.0 Transportation of things.....	2,624	2,462	2,512
23.1 Rental payments to GSA.....	39,462	49,069	44,120
23.2 Rental payments to others.....	10,723	11,896	12,559
23.3 Communications, utilities, and misc. charges.....	4,841	5,111	5,271
24.0 Printing and reproduction.....	78	77	71
25.1 Advisory and assistance services.....	2,273	2,433	2,498
25.2 Other services from non-Federal sources.....	3,835	2,839	3,553
25.3 Other goods and services from Federal sources.....	13,492	14,885	13,578
25.4 Operation and maintenance of facilities.....	447	168	175
25.7 Operation and maintenance of equipment.....	9,432	7,363	8,207
26.0 Supplies and materials.....	1,964	1,835	1,867
31.0 Equipment.....	8,696	2,710	5,495
32.0 Land and structures.....	3,277	2,438	2,743
<b>99.0 Total obligations.....</b>	<b>\$ 185,142</b>	<b>\$ 188,178</b>	<b>\$ 191,055</b>
<i>Subtotal, PC&amp;B.....</i>	<i>82,959</i>	<i>83,847</i>	<i>87,411</i>
<i>Subtotal, non-labor.....</i>	<i>102,183</i>	<i>104,331</i>	<i>103,644</i>
<i>Outlays, Net.....</i>	<i>\$ 5,362</i>	<i>\$ 7,424</i>	<i>-\$ 4,354</i>

## **National Archives Gift Fund**

### **Authorizing Language**

The National Archives Trust Fund Board, chaired by the Archivist of the United States, is authorized by 44 U.S.C. § 2305 to solicit and accept gifts or bequests of money, securities, or other personal property, for the benefit of or in connection with the national archival and records activities administered by the National Archives and Records Administration.

### **Program Description**

The National Archives Trust Fund Board may accept conditional and unconditional gifts or bequests of money, securities, or other personal property for the benefit of NARA activities. NARA receives endowments from private foundations to offset the operating costs of Presidential Libraries: NARA will receive an endowment from the George W. Bush Library Foundation once the Library is constructed and ownership is transferred to the government.

**Explanation of Changes**  
(Dollars in Thousands)

	<u>Obligations</u>
FY 2012 Current.....	\$ 6,503
FY 2013 Budget.....	<u>10,533</u>
Net Change.....	\$ 4,030

Total obligations for FY 2013 are estimated at \$10,533 thousand, an increase of \$4,030 thousand compared to the FY 2012 estimated obligations of \$6,503 thousand. The significant increase is primarily attributed to the remaining undelivered orders for the National Archives Experience contract that is anticipated to run through FY 2013.

The Foundation for the National Archives received a \$13.5 million gift commitment to enhance and expand the museum offerings and the researcher experience at the National Archives. This gift will help create a new permanent exhibition gallery as well as a visitor orientation plaza at the National Archives Building. The National Archives Gift Fund has received \$293 thousand in FY 2011 and is anticipating the receipt of \$4,475 thousand in FY 2012 and the remaining \$8,732 thousand in FY 2013.

**Amounts Available for Obligation**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Current	FY 2013 Budget
Unobligated balance, start of year	\$ 2,610	\$ 2,518	\$ 2,216
Recoveries of prior year unpaid obligations	\$ 2	\$ 0	\$ 0
Budget authority:			
<b>Mandatory appropriation.....</b>	<b>\$ 2,602</b>	<b>\$ 6,201</b>	<b>\$ 9,804</b>
Unexpired unobligated balance, end of year	-\$ 2,518	-\$ 2,216	-\$ 1,487
<b>Total obligations.....</b>	<b>\$ 2,696</b>	<b>\$ 6,503</b>	<b>\$ 10,533</b>
<i>Net outlays</i>	<i>\$ 2,783</i>	<i>\$ 4,221</i>	<i>\$ 9,076</i>

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Current	FY 2013 Budget
21.0 Travel and transportation of persons.....	\$ 98	\$ 81	\$ 82
22.0 Transportation of things.....	5	5	5
24.0 Printing and reproduction.....	12	14	25
25.2 Other services from non-Federal sources.....	295	303	260
25.4 Operation and maintenance of facilities.....	585	585	585
26.0 Supplies and materials.....	73	95	93
31.0 Equipment.....	2	52	5
32.0 Land and structures.....	355	4,625	8,735
33.0 Investments.....	1,271	743	743
<b>99.0 Total obligations.....</b>	<b>\$ 2,696</b>	<b>\$ 6,503</b>	<b>\$ 10,533</b>

## National Archives Trust Fund

### Authorizing Language

The Archivist of the United States furnishes, for a fee, copies of unrestricted records in the custody of the National Archives (44 U.S.C. § 2116). Proceeds from the sale of copies of microfilm publications, reproductions, special works, and other publications, and admission fees to Presidential Library museum rooms are deposited to this fund (44 U.S.C. §§ 2112, 2307).

### Program Description

The Trust Fund receives, holds, and disburses monies collected from sales of reproductions of records, sales of publications and merchandise (through its e-Commerce sites and through over-the-counter sales), sales of Prologue magazine, royalties from partnership agreements, investment income, and admission fees to the Presidential Libraries' museums. Additionally, the Trust Fund supports the Modern Archives Institute, records management training and various conferences and workshops presented by the National Archives.

Reproduction of Records: Reproductions of all varieties of records, including documents, photographs, maps, motion pictures, and ADP tapes are made upon request and sold to the public, to scholars, and to Federal agencies.

Sales of Publications and Merchandise: The fund supports numerous eCommerce sites for the Trust Fund and the Presidential Libraries. The Trust Fund also funds operation of several museum stores and over-the-counter sales operations in Archives facilities across the country.

Sales of Prologue Magazine: The Trust Fund supports the printing, distribution, and money collection for Prologue subscriptions. Prologue presents stories based on the rich holdings and programs of the National Archives across the nation. Articles can also be downloaded.

Royalties from Partnership Agreements: The Trust Fund enters into agreements with third party vendors to develop and sell products based upon the holdings of the National Archives. The fund then retains a royalty percentage when the products sell.

Investment Income: Monies from sales and gift donations are invested in accordance with the established National Archives Trust and Gift Fund (NATGF) procedures. The income earned on investments is used to support National Archives programs.

Fees for Archival and Records Management Training: The fund supports efforts to offer archival and genealogical training to the public and records management training to Federal employees and contractors supporting Federal records management programs.

Admission Fees: Fees are charged for admission to the exhibits at most of the Presidential Libraries and for educational workshops and conferences at the Libraries and other NARA locations.

**Explanation of Changes**

(Dollars in Thousands)

	<u>FTE</u>	<u>Obligations</u>
FY 2012 Current.....	110.0	\$ 17,818
FY 2013 Budget.....	<u>112.0</u>	<u>18,461</u>
Net Change.....	2.0	\$ 643

Total obligations for FY 2013 are estimated at \$18,461 thousand, a net increase of \$643 thousand from FY 2012 estimated obligations of \$17,818 thousand.

**Amounts Available for Obligation**

(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Current	FY 2013 Budget
Unobligated balance, start of year	\$ 5,129	\$ 6,035	\$ 4,485
Recoveries of prior year unpaid obligations	\$ 671	\$ 0	\$ 0
Budget authority:			
<b>Mandatory appropriation.....</b>	<b>\$ 18,557</b>	<b>\$ 16,268</b>	<b>\$ 17,341</b>
Unexpired unobligated balance, end of year	-\$ 6,035	-\$ 4,485	-\$ 3,365
<b>Total obligations.....</b>	<b>\$ 18,322</b>	<b>\$ 17,818</b>	<b>\$ 18,461</b>
<i>Net outlays</i>	\$ 633	\$ 0	\$ 0

**Obligations by Object Classification**  
(Dollars in Thousands)

	FY 2011 Actual	FY 2012 Current	FY 2013 Budget
11.1 Full-time, permanent.....	\$ 4,022	\$ 4,612	\$ 4,969
11.3 Other than full-time permanent.....	1,191	1,204	1,297
11.5 Other personnel compensation.....	292	346	374
12.1 Civilian personnel benefits.....	1,594	1,783	2,064
21.0 Travel and transportation of persons.....	461	473	432
22.0 Transportation of things.....	160	112	114
23.2 Rental payments to others.....	27	53	63
23.3 Communications, utilities, and misc. charges.....	275	229	272
24.0 Printing and reproduction.....	468	448	429
25.1 Advisory and assistance services.....	147	93	88
25.2 Other services from non-Federal sources.....	2,753	2,048	2,045
25.3 Other goods and services from Federal sources	3,153	3,090	3,104
25.4 Operation and maintenance of facilities.....	12	14	13
25.7 Operation and maintenance of equipment.....	278	294	279
26.0 Supplies and materials.....	1,930	2,098	2,113
31.0 Equipment.....	262	120	0
33.0 Investments.....	1,297	801	805
<b>99.0 Total obligations.....</b>	<b>\$ 18,322</b>	<b>\$ 17,818</b>	<b>\$ 18,461</b>
<i>Subtotal, PC&amp;B.....</i>	<i>7,099</i>	<i>7,945</i>	<i>8,704</i>
<i>Subtotal, non-labor.....</i>	<i>11,223</i>	<i>9,873</i>	<i>9,757</i>

FISCAL YEAR 2013

ANNUAL PERFORMANCE PLAN

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NATIONAL  
ARCHIVES

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**Submitted to Congress  
February 13, 2012**

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**



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**TABLE OF CONTENTS**

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<b>Preface</b>	<b>APP-iii</b>
<b>Strategic Goal 1: Our Nation’s Record Keeper</b>	<b>APP-1</b>
Target 1.1: Federal records management	APP-1
Target 1.2: NARA records management services	APP-4
Target 1.3: Federal Records Center Program	APP-6
Target 1.4: Presidential transitions	APP-10
<b>Strategic Goal 2: Preserve and Process</b>	<b>APP-12</b>
Target 2.1: Accessioning records	APP-12
Target 2.2: Processing records	APP-14
Target 2.3: Government-wide declassification	APP-16
Target 2.4: NARA declassification	APP-18
Target 2.5: Archival holdings in appropriate space	APP-21
Target 2.6: NARA Federal Records Center holdings in appropriate space	APP-25
Target 2.7: Preservation	APP-27
<b>Strategic Goal 3: Electronic Records</b>	<b>APP-31</b>
Target 3.1: Processing electronic records	APP-31
Target 3.2: Preserving electronic records	APP-33
Target 3.3: Cost of electronic records management	APP-34
<b>Strategic Goal 4: Access</b>	<b>APP-37</b>
Target 4.1: NARA customer service standards	APP-37
Target 4.2: Online access to archival holdings	APP-40
Target 4.3: Online catalog	APP-43
Target 4.4: Online services	APP-45
<b>Strategic Goal 5: Civic Literacy</b>	<b>APP-48</b>
Target 5.1: Customer satisfaction with our programs	APP-48
Target 5.2: NHPRC grants	APP-52
<b>Strategic Goal 6: Infrastructure</b>	<b>APP-54</b>
Target 6.1: Developing employees	APP-54
Target 6.2: Equal employment opportunity	APP-56
Target 6.3: Recruiting employees	APP-60
Target 6.4: Non-traditional work arrangements	APP-62
Target 6.5: Information technology	APP-63

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## PREFACE

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

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

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

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

### *Our Mission:*

**NARA SERVES AMERICAN DEMOCRACY BY SAFEGUARDING AND PRESERVING THE RECORDS OF OUR GOVERNMENT, ENSURING THAT THE PEOPLE CAN DISCOVER, USE, AND LEARN FROM THIS DOCUMENTARY HERITAGE. WE ENSURE CONTINUING ACCESS TO THE ESSENTIAL DOCUMENTATION OF THE RIGHTS OF AMERICAN CITIZENS AND THE ACTIONS OF THEIR GOVERNMENT. WE SUPPORT DEMOCRACY, PROMOTE CIVIC EDUCATION, AND FACILITATE HISTORICAL UNDERSTANDING OF OUR NATIONAL EXPERIENCE.**

### ***Our Strategic Goals:***

- *One:* As the nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records
- *Two:* We will preserve and process records to ensure access by the public as soon as legally possible
- *Three:* We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era
- *Four:* We will provide prompt, easy, and secure access to our holdings anywhere, anytime
- *Five:* We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs
- *Six:* We will equip NARA to meet the changing needs of our customers

These goals and the strategies to achieve them are detailed in *Preserving the Past to Protect the Future: The Strategic Plan of the National Archives and Records Administration, 2006-2016*, re-issued in September 2009. This annual performance plan is based on the goals, strategies, and long-range performance targets in our Strategic Plan, and builds on expected performance in FY 2012. It details the actions and outcomes that must occur in FY 2013 for us to move forward on meeting the goals and targets in our Strategic Plan. It reflects NARA's FY 2011 efforts to realign the agency, recognize efficiencies, and improve the way we support and deliver services to our customers. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, and the human, capital, and informational resources needed to meet the year's performance goals. The *2013 Cuts, Consolidations, and Savings (CCS) Volume of the President's Budget* identifies the lower-priority program activities under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.” We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority, we are requesting to meet our FY 2013 objectives. Our budget is linked to the performance goals in this plan.

<b>Operating Expenses</b>	<b>\$355,154</b>
<b>Office of Inspector General</b>	<b>\$4,100</b>
<b>Repairs/Restorations</b>	<b>\$8,000</b>
<b>Grants</b>	<b>\$3,000</b>
<b>Total Budget Authority</b>	<b>\$370,254</b>
<b>Redemption of Debt</b>	<b><u>\$16,521</u></b>
<b>Total Appropriation</b>	<b>\$386,775</b>
<b>Total FTE</b>	<b>3,254</b>

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

We continue using four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits of operations, (3) expansion and refinement of our performance measurement system, and (4) systematic sampling of measurement system effectiveness. In FY 1999 we deployed our agency-wide Performance Measurement and Reporting System (PMRS). This system allows us to define and consistently measure data critical to the analysis of our performance objectives. Every year we integrate and expand the system further so that our strategic performance is measured using a balanced scorecard approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services.

Our performance measurement system, which we continuously work to improve, takes advantage of web infrastructure to collect performance data from the more than 70 organizational units that send data to PMRS from all over the country. We also use robust, enterprise-level databases to store the data and generate reports, instead of high-maintenance desktop databases previously used. As a result, we are able to collect our performance data more consistently and more efficiently and store much more data for use in analyzing trends. We have leveraged this technology and operationally integrated data collection to create a performance measurement database that serves the entire agency and is the single strategic performance data source for the agency.

Our program management system (PROMT) is used to control costs and schedules on a variety of programs including the Electronic Records Archives (ERA) program. PROMT integrates several commercial-off-the-shelf program management tools in a Windows-based web environment to help us schedule and link project activities, assign resources, collect and report costs, calculate earned value, and analyze impacts and risks to the ERA program. PROMT incorporates an EIA-748 compliant tool that meets OMB and GAO requirements for calculating earned value.

We must succeed in reaching our goals because the National Archives and Records Administration is not an ordinary Federal agency. Our mission is to ensure that Government officials and the American public have continuing access to essential documentation, and this mission puts us at the very heart of continuity of government, public trust, and the national morale. Whether publishing the *Federal Register*, protecting the critical records assets of Federal agencies nationwide, serving American's veterans, solving the challenge of preserving electronic information so it is readily accessible in the future or displaying our nation's Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights—to inspire the American public, NARA plays a critical role in keeping America's history and democratic ideals safe and secure. This performance plan is our FY 2013 road map for meeting the great expectations of our nation.

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**STRATEGIC GOAL 1 AS THE NATION’S RECORD KEEPER, WE WILL ENSURE THE CONTINUITY AND EFFECTIVE OPERATIONS OF FEDERAL PROGRAMS BY EXPANDING OUR LEADERSHIP AND SERVICES IN MANAGING THE GOVERNMENT’S RECORDS**

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**Long Range Performance Targets**

1.1 By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy.

1.2 By 2016, 90 percent of customers are highly satisfied with NARA records management services.

1.3 By 2016, records management transactions serviced by the Federal Records Centers Program grow by 6 percent.

1.4 Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA locations or NARA-approved facilities.

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**Long Range Performance Target 1.1 By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy.**

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**FY 12 Estimated Performance**

- Agency self-assessment responses meet or exceed the response rate in FY 2011.
- 10 percent of agencies achieve a passing score for compliance in targeted areas of Federal records management.
- Conduct 2 records management inspections.

**FY 13 Projected Performance**

- Agency self-assessment responses meet or exceed the response rate in FY 2012.
- 15 percent of agencies achieve a passing score for compliance in targeted areas of Federal records management.
- Conduct 2 records management inspections.

**Outcome** Our work is based on the principles of open government. Our mission is uniquely aligned with the ideals found in the OPEN Government Directive, issued by the Obama Administration in December 2009. This Directive outlined the need for transformation in Government, where transparency, participation, and collaboration are the principles by which Government operates. We recognize that records management is key to the success of open government. We continue to work with agencies to ensure that they understand the effectiveness of their records management plans and programs. Our work with agencies directly supports our mission to ensure that important Federal Government records are available, accessible, and meet the needs of the agency, government, and citizens. Through oversight

activities, we will identify agencies' effectiveness in meeting statutory and regulatory requirements and identify the level of risk when these requirements are not met.

Records management is the best tool for ensuring that the essential records required for the day-to-day operation of Government business are available and recoverable in the event of an emergency. Records management should be integrated into Federal business processes so that records are routinely identified, retained, and maintained and available for normal operational needs and in emergency situations. Expanding the integration and effectiveness of records management planning and programs will produce cost savings and greater Government-wide efficiency. Our nation's history is deeply rooted in the business of government. For citizens to understand their role in the process of Government, records of archival value must be preserved. Identifying these records and developing strategies to ensure their availability to the American people is a vital records management function.

**Significance** The Federal Government must identify and protect records from the time of their creation so that they are available to operational staff at critical times, and are later preserved and made available to the public. Preserving our nation's records ensures that they are protected for the future, and available to document the rights of our citizens, Federal Government actions, and the historical experience of our nation.

**Means and Strategies** The backbone of a transparent and open government is good records management. Our *Open Government Plan* outlines opportunities that now exist to operate more efficiently and effectively as we communicate and interact with our stakeholders, customers, and the public to gather information and seek input to solve records management issues. As part of our reorganization in FY 2011, we elevated the visibility and accountability of records management and established the position of Chief Records Officer (CRO) to lead records management throughout the Federal Government. Under the leadership of the CRO, NARA will develop guidance, assess Federal agency compliance with guidance and regulations, and work to improve the state of Federal records management programs in the agencies.

For several years, we have issued mandatory annual records management self-assessments to Federal agencies in response to an FY 2008 GAO audit report. In the report, GAO recommended that NARA exercise its statutory authority as defined in the Federal Records Act and implement oversight mechanisms to ensure that Federal records are not lost or destroyed. Since then, we developed a methodology and process for conducting records management oversight activities of Federal agencies and established mechanisms for reporting the results to Congress. Part of this methodology included annual agency self-assessments where we set out to routinely monitor and assess the state of Federal records management programs. By offering a self-assessment vehicle, agencies can use the data to improve their records management programs and NARA can develop strategies to improve Federal agency compliance with records management guidance and regulations.

Subsequent issuances of the survey included refinements that produced more consistent responses among agencies and reduced the amount of subjectivity. The result was a better understanding of the state of Federal records management in agencies and better insight of the inherent risks in preserving the permanent records of our Federal government. In FY 2011, we concentrated some of the questions on how well agencies monitor compliance with records management policies and directives, and the timely transfer of permanent records to NARA. The results illuminated the breadth of the problem. With 277 agencies polled in the self-assessment, only 10 percent fell into the low risk category. The data points out a continuing trend of agencies with moderate to high levels of risk in their Federal records management programs. We rely on agencies to use this data to improve their records management programs, and NARA will use the results in agency inspections.

As technology advances, we recognize the need to use new tools and resources to support the critical functions of Government. NARA's issuance of a report on Federal Web 2.0 use and guidance on managing records in cloud computing environments was our initial step in addressing newer technologies. Annually, we will refine our survey and build upon lessons learned in the prior year. Our goal is to continue to address ways to decrease the risks to Federal records and improve agency records management practices through inspections and agency self-assessments.

Presidential Memorandum, *Managing Government Records*, issued in early FY 2012 to Executive Departments and Agencies further emphasizes the urgency of effective records management. This memorandum marks the beginning of an executive branch-wide effort to reform records management policies and practices in the Federal government with specific emphasis on managing electronic records.

**Key external factors** Federal agencies must devote resources to perform records management. Federal agency managers must see records management as an asset for their business operations. Federal agencies must assign resources to perform regular self-assessments of records management compliance. Records management professionals must be trained in Federal records management policy.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percent of agencies who submit records management self-assessments to NARA.</i>		50	93	93	TBD
Percent of agencies who submit records management self-assessments to NARA.	91	93	89		
<i>Performance target for percent of agencies with passing scores for compliance with Federal records management policy.</i>	—	—	15	10	15
Percent of agencies achieving passing scores for compliance with Federal Records management policy.	22	6	10		

***Milestones***

**FY 2008**

- Senior Federal agency managers surveyed to assess their views of their records management programs as positive tools for risk mitigation.
- Two records management studies (i.e. Recordkeeping Study and Flexible Scheduling Study) of Federal agencies completed.

**FY 2009**

- Survey results analyzed and additional advocacy and training strategies discussed.
- Methodology and process for conducting and reporting records management oversight activities developed.

**FY 2010**

- NARA's *Open Government Plan* issued.
- Agency self-assessment of their records management program conducted.
- One agency inspection conducted.
- Results of government-wide agency self-assessment analyzed.
- NARA Bulletin on *Developing Flexible Schedules* issued.
- *NARA's Electronic Records Project Summary Report for FY 2005 – FY 2009* issued.
- *FAQs About Managing Federal Records in Cloud Computing Environments* issued.
- Records Management study on Federal web 2.0 and social media use conducted.

**FY 2011**

- One inspection conducted.
- Agency self-assessment of their records management program conducted.
- Results of Government-wide agency self-assessment analyzed.
- Sufficiency of NARA's statutory authority to manage electronic records examined.

**FY 2012 Estimated**

- Agency self-assessment of their records management program conducted.
- Two agency inspections conducted.

- Presidential Memorandum, *Managing Government Records*, issued.

**FY 2013 Projected**

- Agency self-assessment of their records management program conducted.
- Two agency inspections conducted.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**Long Range Performance Target 1.2 By 2016, 90 percent of customers are highly satisfied with NARA records management services.**

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**FY 12 Estimated Performance**

- 90 percent of Federal agency customers are highly satisfied with NARA records management services.
- Increase by 25 percent the number of distance learning course offerings.
- Reduce by 5 percent the backlog of open schedules registered prior to FY 2010.

**FY 13 Projected Performance**

- 90 percent of Federal agency customers are highly satisfied with NARA records management services.
- Increase by 10 percent the number of distance learning course offerings.
- Reduce by 10 percent the backlog of open schedules registered prior to FY 2011.

**Outcome** NARA will improve Government-wide records management by providing services that meet the needs of records managers and operational staff across the Government. A significant indicator of NARA’s success is the satisfaction of its customers, Federal managers, and employees throughout the Government. NARA will meet customer needs through providing prompt and responsive service, effective and educational training, and by facilitating the ongoing review of Federal records management practices.

NARA will improve and increase the guidance that it provides to Federal agencies to support meeting their records management responsibilities and challenges. NARA will also increase the Government’s records management capability through studying records management challenges particular to Government and through training and certifying new records managers in every Federal agency. In this digital era, NARA will expand the way it tackles key records management challenges by implementing the tenets of open government as we work collaboratively with our customers and partners to improve communication and transparency in the Federal Government.

**Significance** NARA’s ability to provide agency records managers with the guidance, tools, and assistance they need to meet their agencies’ business needs is critical to ensuring effective records management operations of Federal programs. The managers and operational staff that generate the records vital to Government operations and our nation’s history must have the training and tools necessary to fulfill their obligation to the public.



**Means and Strategies** NARA’s success in providing agencies with the records management tools they need is the basis for evaluating its service to the Federal Government. Records managers are the most important audience for NARA’s records management services, and they are best able to judge our success. We value their input and request feedback on their satisfaction with NARA’s records management services, including scheduling and appraisal services, electronic records guidance, and records management training services.

In FY 2011, NARA underwent a reorganization to become a more nimble and responsive organization. NARA’s reorganization revolved around being a *customer-focused* organization—one of our six transformational goals. Customer satisfaction is key to the success of NARA’s transformation and crucial to the records management services NARA provides. We provide guidance, training, and assistance throughout the Government to support agencies’ business needs and embed records management in the agencies’ business processes and systems.

A critical tactic for improving customer satisfaction is the redesign of the processes by which Federal records overall are identified, appraised, scheduled, and tracked while in agency custody. Part of the strategy for carrying out this plan was the development of the Electronic Records Archives, an application that supports the scheduling and accessioning of Federal records. We successfully achieved initial operating capability of ERA in FY 2008 and have released several major enhancements since that time. Concerted efforts to push Federal agency user adoption by the end of FY 2012 will create the user base needed to understand user satisfaction with ERA. Feedback on ease of use in areas such as schedule submissions and records transfers will provide the needed barometer to adequately gauge our level of success in terms of customer satisfaction and routine use of the tool. Assessing user satisfaction will help us identify needed improvements that will make it easier for agencies to develop records schedules that comply with all applicable rules, submit them to NARA for approval online, and then for NARA to accession the records covered by those schedules, ensuring that essential documentation of the Federal Government is not lost.

NARA Records Management Training provides a curriculum designed to enhance and improve the knowledge and skills of Federal records managers. We recognize that ongoing records management training is an integral part of effective records management. Unfortunately, time commitments, travel limitations, and budgetary restrictions often prevent Federal government employees and contractors from participation in face-to-face classroom instruction. In FY 2013 we will begin transitioning our current face-to-face course-load to an internet-based approach, using an approach to learning that will incorporate both self-paced and scheduled elements.

**Key external factors** Agency records management professionals must be self-motivated to attend training and complete NARA’s certification program.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Percent of Federal agency customers that are satisfied with NARA records management services.</i>	—	85	—	—	90	—
Percent of Federal agency customers that are satisfied with NARA records management services.	81	81	—	—		
Percent of records management training participants taking a NARA records management course for the first time.	39	63	36	34		
Number of records management training participants who are taking a NARA records management course for the first time.	2,524	7,625	2,619	1,648		

<b>Performance Data</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percent increase in the number of distance learning course offerings.</i>	—	—	5	5	25	10
Percent increase in the number of distance learning course offerings.	—	—	133	-68		
Number of Federal agency staff receiving NARA training in records management and electronic records management.	6,422	12,114	7,233	4,901		
Number of records management training participants that NARA certified this year.	310	242	282	299		
Median time for records schedule items completed (in calendar days).	291	307	285	709		
Average age of schedule items completed (in calendar days).	443	416	438	935		
Number of schedule items completed.	3,148	3,248	3,673	4,168		
<i>Performance target for percent decrease in the number of open schedules two years old or older.</i>	—	—	—	—	5	10
Percent decrease in the number of open schedules two years old or older.	—	—	—	—		
Number of open schedules in the backlog.	500	955	874	711		

#### **Milestones**

##### **FY 2008**

- Effectiveness of flexible schedules for agencies and NARA assessed.

##### **FY 2009**

- Customer Satisfaction Survey issued.
- Distance learning techniques to expand customer base selected.

##### **FY 2010**

- Approved agency records schedules from 1973 to present digitized and posted.

##### **FY 2012 Estimated**

- At least two courses revised to reflect new NARA initiatives (e.g. ARCIS, ERA).
- Skill needs analysis of customer agencies conducted.
- Customer Satisfaction Survey issued and results analyzed.

##### **FY 2013 Projected**

- Conversion of knowledge area classes to online delivery initiated.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist. The Federal Enterprise Architecture Program Management Office Business Reference Model, version 2.0.

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### **Long Range Performance Target 1.3 By 2016, records management transactions serviced by the Federal Records Centers Program grows by 6 percent.**

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#### **FY 12 Estimated Performance**

- Increase number of records management transactions serviced by FRCP by 1 percentage point.
- Make ready 98 percent of Federal agency reference requests within the promised time.
- Answer 85 percent of written requests to the National Personnel Records Center within 10 working days.
- Achieve 88 percent customer satisfaction at NPRC.
- Answer 85 percent of requests for military personnel records in

10 working days or less.

- Implement Increment 5 of ARCIS at Federal Records Centers.

### **FY 13 Projected Performance**

- Increase number of records management transactions serviced by FRCP by 1 percentage point.
- Make ready 95 percent of Federal agency reference requests within the promised time.
- Answer 85 percent of written requests to the National Personnel Records Center within 10 working days.
- Achieve 89 percent customer satisfaction at NPRC.
- Answer 85 percent of requests for military personnel records in 10 working days or less.
- Implement Customer Relationship Management Software for FRCP.

**Outcome** The outcome of our actions is that we provide superb service and customer-responsive solutions to Federal agencies. As a result, Federal agencies can economically and effectively create and manage paper and electronic records necessary to meet business needs, and records of archival value are preserved.

**Significance** The NARA Federal Records Centers Program (FRCP) plays a vital role in the lifecycle of Federal records. The program helps agencies manage the transfer, storage, and servicing of their non-current records and works closely with NARA's records management program to ensure that agencies' vital records are efficiently and appropriately managed for as long as needed. As more Federal records are created and managed in electronic formats, NARA is responding by focusing on customer requirements and providing economical and effective electronic records services at our records centers.

**Means and Strategies** Since FY 2000, NARA's Federal Records Center Program (FRCP) has been fully reimbursable, allowing us to be more flexible in responding to agency records needs, and requiring us to meet those needs in a cost-effective and efficient way. Our ability to satisfy and retain our customers is dependent on our ability to meet their needs and to anticipate the kinds of services that will be most useful to them. Over the last several years, we have piloted and tested a variety of electronic records services. We will continue to test the delivery and assess customer satisfaction of new services for electronic records, including digitizing records into electronic formats, storage of agencies' electronic records on media, and remote servicing of electronic records, for example, electronic Official Military Personnel Files (OMPF). As we work to expand business to new and existing customers by providing targeted products and services, we will develop strategies to address marketing electronic Federal Records Center services and records management consulting services; and we will enhance the efficiency of operating procedures, and train our sales force in introduction of new products. We will implement Customer Relationship Management software as a way to holistically approach understanding and solving records management issues of agencies as well as further understanding the business needs of customers.

In FY 2010, we completed deployment of the Archives and Records Center Information System (ARCIS) throughout NARA’s regional facilities. This system replaced mainframe-based systems that had been operational for more than 20 years. Most importantly, these systems no longer supported the new FRCP reimbursable financial environment. ARCIS provides robust inventory and space management for more than 27 million cubic feet of records through a web-based application for all FRCP business transactions. ARCIS enables Federal agencies to better manage records throughout the records lifecycle, enables the FRCP to better measure all facets of FRCP performance, and will provide asset management and billing functionality.

Increment 4 of ARCIS, developed in FY 2011, included enhancements to the customer portal such as record transfer capability, user management functionality, and access control. In addition, workflow engineering (i.e. the creation, submission, and approval of transfer requests), can be accomplished through ARCIS. In FY 2012, Increment 5 will address bulk load customer upload requests and additional enhancements to workflow engineering, integration with billing, and integration of retrieval tools for military and civilian personnel and medical records in the National Personnel Records Center in St. Louis.

In FY 2013, we plan to deploy a Customer Relationship Management tool to manage and track customer interaction with NARA’s FRCP. The tool will also manage and track interagency agreements and share sales and communication efforts throughout our national program.

**Key external factors** The Federal Records Center Program operates in a competitive business environment in which Federal agencies choose their records center services provider. Testing and enhancing remote servicing capability for electronic official military personnel files (OMPF) is contingent on agreements with military service departments for NARA to access their systems.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percentage point of records management transactions growth in the Federal Records Centers.</i>	—	—	1	1	1	1
Percent of records management transactions growth in the Federal Records Centers.	—	—	2.3	0.7		
<i>Performance target for percent of customers satisfied with NPRC services.</i>	—	<i>Establish baseline</i>	87	88	88	89
Percent of customers satisfied with NPRC services.	—	85	89	95		
<i>Performance target for percent of Federal agency reference requests ready within the promised time.</i>	96	97	97	98	98	95
Percent of Federal agency reference requests ready within the promised time.	93	94	97	95		
<i>Performance target for customers with appointments for whom records are waiting at the appointed time.</i>	99	99	99	99	—	—
Percent of customers with appointments for whom records are waiting at the appointed time.	99.9	99.9	99.8	100		
<i>Performance target for percent of written requests to the National Personnel Records Center answered within 10 working days.</i>	75	80	80	80	85	85
Percent of written requests to the NPRC answered within 10 working days.	74	69	69	78		
Number of written requests to the NPRC answered within 10 working days (in thousands).	854	845	908	710		
Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands).	167	94	76	19		

<b>Performance Data</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Number of written requests for military records to the NPRC answered within 10 working days (in thousands).	687	751	833	691		
Number of written requests to the NPRC answered (in thousands).	1,149	1,221	1,319	913		
<i>Performance target for percent of requests for military personnel records answered in 10 working days or less (High Priority Goal).</i>			—	85	85	85
Percent of requests for military personnel records answered in 10 working days or less.	72	70	70	78		
<i>Performance target for (average) number of working days to respond to requests for military personnel records.</i>	—	—	15	10	10	10
(Average) Number of working days to respond to request for military personnel records.	11.8	17.5	17.4	11.9		
(Average) Number of working days to respond to request for civilian personnel records.	7.5	9.9	10.5	9.7		
<i>Performance target for requests for military service separation records at the NPRC answered within 10 working days.</i>	—	—	—	—	—	
Percent of requests for military service separation records at the NPRC answered within 10 working days.	95	95	94	94		
Number of military service separation records (DD-214) requests answered in 10 working days (in thousands).	483	546	523	361		
Average price per request for military service separation records.	\$30.10	\$31.70	\$31.70	\$33.00		

**Milestones**

**FY 2009**

- Rollout of ARCIS to nearly all Federal Records Centers completed.
- Baseline customer satisfaction with National Personnel Records Center services established.
- NPRC agreements with the Office of Personnel Management to service requests using electronic Official Personnel Files (OPFs) of former federal civilian employees implemented.

**FY 2010**

- ARCIS Reporting capabilities improved and customer portal enhanced.
- eFRC Business Case completed and deployment decision reached.

**FY 2011**

- Customer portal in ARCIS expanded to include records transfer, user management, and access control capabilities.

**FY 2012 Estimated**

- *Case Management and Reporting System (CMRS)* upgraded.
- NPRC's registry files migrated into ARCIS and integrated with CMRS.

**FY 2013 Projected**

- Customer relationship management software for FRCP deployed.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**Long Range Performance Target 1.4 Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA facilities or NARA-approved locations.**

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**FY 12 Estimated Performance** • Reference Long Range Performance Target 2.2 for future milestones.

**FY 13 Projected Performance** • Reference Long Range Performance Target 2.2 for future milestones.

**Outcome** Immediately upon the end of a Presidential Administration, NARA takes custody of Presidential records, both textual and electronic, and the Presidential artifacts for transportation to and storage at a new Presidential Library. The records of an outgoing administration are secured, inventoried, and accessible to appropriate special access requesters under the terms of the Presidential Record Act (PRA), including the outgoing and incoming Presidents, Congress, and the Courts.

**Significance** The Presidential Libraries Acts of 1955 and 1986 authorize NARA to oversee a system of Presidential Libraries. Through these Libraries, NARA provides access to the evidence of history, giving visitors to our research rooms, museums, and public programs firsthand knowledge of the President, the Presidency, and American history. We provide for the transfer and processing of the official records for each Presidential administration. Inventories of Presidential and Vice Presidential records enable the transfer of the records from the White House to NARA, establish basic intellectual control, and facilitate access to the records in the immediate post-Presidential period. In addition, because the PRA mandates that the records of the Administration be available to Freedom of Information Act (FOIA) requests five years after the President leaves office, sound intellectual control prepares the Presidential Library to respond to research demands.

**Means and Strategies** NARA works closely with each incumbent Administration to ensure that Presidential records are ready for transfer to NARA as soon as an Administration ends. We assist the outgoing Administration in planning and preparing the records for transfer. We work with Administration staff on records issues and transfer strategies. And finally, at exactly 12:01 p.m. on January 20th, we take legal custody of the records, transferring them to their temporary destination where they are inventoried and managed until they can be moved into their final destination at a new Presidential Library.

In FY 2009, we successfully executed the move of the Bush Administration Presidential and Vice Presidential material to NARA. The Bush Administration transferred to NARA more than 60 million pages of textual records and exponentially more electronic Presidential and Vice Presidential records than any earlier Administration. To ensure the preservation of these records for historical, informational, administrative, and evidentiary purposes and to prepare for the transfer of Presidential and Vice Presidential records to our custody, we worked with White House and Vice Presidential staffs to account for Presidential records, in all formats, held in Presidential, First Lady, and Vice Presidential staff offices and other file locations. We provided support to the White House Offices managing records and artifacts, including the White House Office of Records Management (WHORM), the White House Office Gift Unit, the White House Communications Agency, the Office of the Vice President, and the National Security Council Access and Records Management Staff.

Early staffing is key to success because of the advanced training the staff need to perform this work. Staff must be trained to accomplish the exacting reviews required under the PRA and FOIA to ensure that the

Presidential records are available in accordance with the Act. Staff must become familiar with the Administration's holdings, including the artifacts.

**Key external factors** Our success depends on successful planning with the outgoing and incoming White House staffs.

### **Verification and Validation**

#### ***Milestones***

##### **FY 2007**

- Five staff (4 archivists and 1 registrar) hired for George W. Bush Presidential Library.

##### **FY 2008**

- Additional staff to support preparation and move of George W. Bush Administration records hired.
- Leased space for temporary storage of George W. Bush Administration records procured.
- Inventories or other information about Presidential and Vice Presidential traditional and electronic records and artifacts gathered to aid in preparation for their relocation from Washington, DC, to the project site or ingestion into NARA's electronic records system.

##### **FY 2009**

- Temporary facility for George W. Bush Administration records occupied.
- 100 percent of George W. Bush Administration Presidential and Vice Presidential records and artifacts transferred to NARA.
- Additional staff and 1 Director hired for George W. Bush Library.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Inventory: a listing of the volume, scope, and complexity of an organization's records.

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**STRATEGIC GOAL 2 WE WILL PRESERVE AND PROCESS RECORDS TO ENSURE ACCESS BY THE PUBLIC AS SOON AS LEGALLY POSSIBLE**

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- Long Range Performance Targets**
- 2.1 By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.
  - 2.2 By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.
  - 2.3 By 2016, 90 percent of agency declassification programs earn high scores from ISOO.
  - 2.4 By 2016, NARA archival holdings of 25-years-old or older records are declassified, exempted, or referred under the provisions of Executive Order 13526.
  - 2.5 By 2016, 100 percent of archival holdings are stored in appropriate space.
  - 2.6 By 2014, 100 percent of NARA records center holdings are stored in appropriate space.
  - 2.7 By 2016, less than 50 percent of archival holdings require preservation action.

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**Long Range Performance Target 2.1 By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.**

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- FY 12 Estimated Performance**
- 30 percent of targeted archival records transfers arrive at NARA on time.
  - Identify and schedule 10 percent more Federal agency electronic records and systems than were scheduled in FY 2011.
- FY 13 Projected Performance**
- 35 percent of targeted archival records transfers arrive at NARA on time.

**Outcome** Records of archival value are preserved for future generations.

**Significance** Technology and the movement of the computing environment to Federal workers' desktops have led to a decentralized records management environment. While this enables workers to create and manage their own records (such as e-mail), it has also resulted in a proliferation of both electronic records formats and locations where records are created and stored. In this new environment, traditional paper-based records management control techniques and procedures are often no longer



sufficient, resulting in a Federal records management approach that is not well integrated into agency business processes, systems development, information technology infrastructure, and knowledge management. This undermines the authenticity, reliability, integrity, and usability of Federal records and information essential for Government business, particularly electronic Government, and public use. We must guarantee the continuing accessibility of the records of all three branches of our Government regardless of the media on which they were created. We must instill the importance of transferring to NARA all permanent records, regardless of format, according to their disposition authority and transfer instructions, e.g. when they are eligible to transfer, to minimize loss of Federal records protecting our rights as citizens, demonstrating our government's accountability, and preserving information of historical relevance.

**Means and Strategies** We focus our attention on records that are at greatest risk of not being managed effectively, records that document citizens' rights and Government accountability, and records of archival value. With the volume of these records, as well as the number and variety of formats increasing every year, we are challenged with developing timely guidance and ensuring Federal agency compliance with guidance and regulations. We will continue to monitor trends to understand the needs of Federal agencies and how we can improve the timeliness of records transfers to NARA.

By increasing our communications and targeting records at risk of not being managed effectively, we realized ancillary benefits such as increased transfer rates for non-targeted archival records in FY 2011. These results have led us to expand efforts beyond a selection of Federal agencies and to work to ensure that all agencies transfer their permanent records to NARA according to the terms of their records schedules. We will encourage agencies to use ERA and where feasible, to ingest permanent electronic records directly into ERA. Our staff will target an increased number of disposition authorities with records eligible for transfer. In FY 2012 and FY 2013, we will continue to monitor trends and work with agencies to increase the volume of electronic records scheduled while also developing new strategies and approaches for promoting awareness in agencies of scheduling and transfer options. With approaches such as the pre-accessioning of electronic records into NARA, we can avoid the loss of records that may occur with lengthy agency retention.

**Key external factors** Federal agencies must schedule their records. To know whether records are transferred "on time," records schedules must have deterministic transfer instructions that indicate the year of expected transfer. This is frequently not the case with media neutral and big bucket schedules. Agencies must agree to transfer their permanently valuable records to NARA. Federal agencies must implement Federal electronic records management standards issued by NARA.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percent of targeted archival records transfers arriving at NARA on time.</i>	10	20	30	40	30	35
Percent of transfers of targeted archival records arriving at NARA on time.		21	27	19		
Percent of transfers of targeted traditional archival records arriving at NARA on time.		6	24	19		
Percent of targeted disposition authorities with electronic archival records arriving at NARA on time.	40	44	35	26		
<i>Performance target for percent increase in number of Federal agency electronic records series or systems scheduled than prior year.</i>	—	10	10	10	10	—
Percent increase in number of Federal agency	—	60	3	26		

<b>Performance Data</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
electronic records series or systems scheduled than prior year.*						
Number of Federal agency electronic records series or systems scheduled.	496	794	820	1,031		

\*The methodology for calculating agency electronic records series or systems changed during FY 2008 based on the issuance of Media Neutral guidance and the use of General Records Schedule (GRS) 20 to cover associated inputs, outputs and documentation related to agency electronic records series or systems.

**Milestones**

**FY 2012**

- Study to assess the risk of not reducing the scheduling backlog conducted.

**Data source** The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Accessioned: Legal custody of archival materials is transferred to NARA. Disposition Authority: A disposition authority is the same as a schedule item. It identifies a collection of records that are logically related and have the same disposition rules. One disposition authority can support many transfers to NARA over many years.

**Long Range Performance Target 2.2 By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.**

**FY 12 Estimated Performance**

- Process 60 percent of archival holdings to the point where researchers can have efficient access to them.

**FY 13 Projected Performance**

- Process 65 percent of archival holdings to the point where researchers can have efficient access to them

**Outcome** More of NARA’s holdings are available to the public.

**Significance** We must guarantee the continuing accessibility of the records of all three branches of Government. If we cannot do this, citizens, businesses, and the Government will lose the essential documentation necessary to prove their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records (see target 3.1).

**Means and Strategies** *Archival processing* involves all the steps needed to open a record to the public. It includes establishing basic intellectual and physical control, and flagging records that have privacy issues, national security classification, or other restrictions or exemptions. It also includes providing descriptions of the records content, if necessary to understand the context in which the records were created, evaluating and recording condition (i.e. risk assessment), and performing essential preservation actions so that the records may be served to the public. New technology has created increased opportunities for easier and faster access to our holdings. However, the same technology has led to more records being created. The result is that new records have been *accessioned* (transferred to the legal custody of the National Archives) faster than they could be processed. This has created a backlog of holdings that has been growing for decades. To reduce this backlog and increase public access to holdings, we re-engineered our business process to increase processing efficiency, we reassigned staff to processing, and we implemented processing plans customized to some archives locations, to ensure that we eliminate our backlog while continuing to process incoming records.

We recognize that the increase of accessioned records has placed stress on NARA’s archival workforce. NARA must develop an archival staff able to handle the increasingly complex workload ranging from traditional paper documents more than 100 years old to state-of-the-art electronic records. While many experienced archivists retired or were eligible for retirement, in FY 2009 and 2010, we hired new archivists with the technical skills, organizational competencies, and knowledge needed to address our increasing workload. We assigned them to NARA’s archival development program (ADP) where, based on policy from the Office of Personnel Management (OPM), archivists are required to have 160 hours of training over the two year period of their program. The ADP focused on four core areas designed to give the archivists the skills they need to succeed. Two courses— Orientation Basics and Archival Concepts— provided detailed information on all aspects of processing archival records at NARA. In addition, the vast volume of Presidential electronic records in our holdings presents a number of archival and technical challenges as we work to make these records available to the public. As we train new archivists and identify ways to streamline processing, we are working to ensure that our archivists have the technical capabilities required to review electronic records and make them available for online public access. In addition, we are exploring ways to engage citizens in adding descriptions to NARA holdings through social media tagging.

We received approval by the representatives of former Presidents and the incumbent President which authorizes NARA to publish notification of our intent to release any Presidential or Vice Presidential records before our actual review. This notification is traditionally required following NARA review. With this approval, NARA was able to open 8.5 million pages of Reagan and Bush Libraries at one time.

**Key external factors** Progress in processing Presidential records may be hindered by an unusually large number of special access requests or Presidential Records Act (PRA)/FOIA requests and the need to review records page by page.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percent of archival holdings that have been processed to the point where researchers can have efficient access to them.</i>	30	40	50	55	60	65
Percent of archival holdings that have been processed to the point where researchers can have efficient access to them.	30	41	47	53		

***Milestones***

- FY 2008**
  - Processing efficiencies in Presidential Libraries and regional archives studied.
- FY 2009**
  - Additional staff in Presidential Libraries dedicated to processing hired.
  - Processing backlog elimination plans in regional archives implemented.
- FY 2010**
  - New archival staff for processing Presidential records trained.
  - Additional archival staff hired.
- FY 2011 Estimated**
  - Additional archival staff hired.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**Long Range Performance Target 2.3 By 2016, 90 percent of agency declassification programs earn high scores from ISOO.**

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**FY 12 Estimated Performance** • Achieve 90 percent or higher rate of agency declassification programs receiving high scores as assessed by ISOO.

**FY 13 Projected Performance** • Sustain 90 percent or higher rate of agency declassification programs receiving high scores as assessed by ISOO.

**Outcome** Records are properly exempted, referred, or declassified under the automatic declassification provisions of the Executive Order 13526, entitled “Classified National Security Information.”

**Significance** The Information Security Oversight Office (ISOO), which is administered by NARA, oversees the Government-wide security classification program and reports annually to the President on its status. ISOO collects data about agencies’ programs and conducts on-site reviews to assess those programs. An important component of the security classification program is declassification, in particular the automatic declassification program.

**Means and Strategies** Through collaborative exchanges with agencies, policy clarification, education and training, and increased oversight, ISOO will seek to enhance the efficiency and effectiveness of the declassification program.

Increased oversight takes place through assessments of agency declassification programs. We conduct reviews of declassification programs to examine the declassification aspects of an executive branch agency’s security classification program to determine whether an agency has met the requirements established by the President. The review assesses the appropriateness of agency declassification actions, the quality of agency actions to identify classified equities of other agencies, and the appropriateness of agency action to exempt records from automatic declassification based upon application of declassification guidance approved by the Interagency Security Classification Appeals Panel or the application of file series exemptions. The specific results of a review, along with any appropriate recommendations for improvement, will be reported to the agency’s senior agency official and will be reported generally in our reports to the President.

Our additional efforts to interact with agencies on declassification issues, clarify declassification policy, support declassification education and training and other oversight efforts concerning declassification in FY 2013 will be determined in large measure by the findings of our FY 2011 and FY 2012 annual declassification assessments. Agencies scoring low in initial reviews benefit from our assistance in addressing deficient areas and have shown significant improvements in subsequent reviews.

**Key external factors** Agencies’ cooperation is essential to identifying the records subject to automatic declassification, impediments to meeting the new deadline, and solutions to these impediments. Agencies will focus their review efforts at meeting the December 31, 2013, deadline for Executive Order 13526.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percent of agency declassification reviews that receive high scores as assessed by ISOO.</i>	<i>Establish baseline</i>	51	69	80	90	90
Percent of agency declassification reviews that receive high scores as assessed by ISOO.	36	53	67	81		

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Number of agency declassification reviews that receive high scores as assessed by ISOO.	8	10	10	13		
Number of agency declassification reviews assessed by ISOO.	22	19	15	16		

***Milestones***

**FY 2008**

- Program for enhancing ISOO’s assessment of declassification review programs in agencies with substantial declassification programs developed.
- Annual assessment of agencies with substantial declassification review activity performed.
- Scoring tool on the declassification reviews of all agencies with substantial declassification review programs tested.
- Recommendations for declassification programs to improve their scores developed.

**FY 2009**

- Agencies with substantial declassification review programs assessed.
- Recommendations for declassification programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

**FY 2010**

- Issuance of new declassification policy through E.O. 13526 and revision of 32 CFR Part 2001.
- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

**FY 2011**

- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

**FY 2012 Estimated**

- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

**FY 2013 Projected**

- Declassification reviews on at least 25 percent of agencies assessed with substantial declassification review programs conducted.
- Declassification reviews on a statistical sample of records processed through the National Declassification Center conducted.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

**Data source** Quarterly performance reports to the Archivist. Information Security Oversight Office, annual reports to the President (<http://www.archives.gov/isoo/reports/>).

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**Long Range Performance Target 2.4 By 2016, archival holdings of 25-years-old or older records are declassified, exempted, or referred under the provisions of Executive Order 13526.**

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**FY 12 Estimated Performance**

- Complete quality assurance in the NDC on 251 million pages of classified documents 25 years old and older and accessioned into NARA (Note: cumulative target beginning in Jan 2010).
- Scan 700,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture project.

**FY 13 Projected Performance**

- Complete quality assurance in the NDC on 391 million pages of classified documents 25 years old and older and accessioned into NARA (Note: cumulative target beginning in Jan 2010).
- Scan 1,500,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture project.

**Outcome** More archival records are declassified and made available for public use while maintaining national security.

**Significance** Executive Order 13526, signed on December 29, 2009, requires the declassification of material 25 years old unless specifically exempt. The Government protects millions of classified documents at great expense, including a backlog of 418 million pages of Federal records in our Washington, DC, area facilities at the beginning of January 2010. In addition, we have 38 million pages of classified records in our holdings in the Presidential Libraries. The majority of these documents, more than 25 years old, no longer require classified protection and can and should be accessible to citizens.

With the issuance of E.O. 13526, NARA was given a leadership role in promoting collaboration, standardization of data, bringing together disparate declassification processes and systems within the declassification community through the establishment of the National Declassification Center. In addition, the Presidential Libraries has a major ongoing project to review classified documents in its holdings under its Remotes Archives Capture (RAC) project.

**Means and Strategies** NARA's National Declassification Center (NDC) has strengthened their business processes during FY 2011. Working with other government agencies in FY 2010, we improved these processes under the initial guidance of the Lean Six Sigma program to improve the efficiency of the quality review and referral process.

NARA retains physical and intellectual control of the records. We prioritize the order in which referrals are processed so as to deal with records of high research interest in a timely manner. The NDC has standardized the method for recording agency decisions. This change ensures that when the NDC staff process the records for release or exemption, the agency determination will be clearly understood and NARA will avoid inadvertent releases of sensitive information. These process improvements are designed to provide the public with as many declassified records in the shortest time possible while maintaining national security.

During FY 2011, the NDC also developed a new process for interagency declassification review and processing of special media. We also began designing a process for the review and release of the electronic records currently accessioned to NARA.

The Presidential Memorandum associated with this Executive Order established a December 31, 2013, deadline for the treatment of all 418 million pages reported in the NARA backlog as of January 2010. Since the mandate, we have improved our database analysis and metrics capability and believe the original backlog was closer to 390 million pages in January 2010. This backlog consists of the following: documents that have had one or more reviews by the original or equity-holding agencies, whose reviewers may not have had the training or experience necessary to accurately identify other government agency information; documents that may not have been reviewed for Restricted or Formerly Restricted Data (RD/FRD) required under the Kyl-Lott amendment; or collections without the proper documentation ensuring they were reviewed for RD/FRD. Kyl-Lott allows the Department of Energy to audit records to ensure that highly sensitive RD/FRD is properly protected.

One of our greatest challenges is the limited number of resources to address the identification of RD/FRD required by Kyl-Lott in nearly half of the remaining records within the backlog. Due to the technical complexities of these records, page-level reviews are required to meet Kyl-Lott certification requirements. In FY 2011 and continuing in FY 2012, we are working with agency partners to establish interagency teams to facilitate this process.

To ensure that records released to the public have been properly declassified, the NDC has established Evaluation Teams and Interagency Quality Assurance Teams consisting of representatives from the major classifying agencies. These teams assess the quality of past reviews and the potential sensitivity of the records. The teams will pass records to the interagency referral center (IRC) if satisfied with the quality, schedule records for re-sampling, send the records to a remediation team if there are too many problems, or send records to final declassification processing for public release.

The results of the quality assurance program indicate that the quality of initial agency reviews severely impacts the processing of records for the IRC. NARA is working with the agencies to develop standard equity recognition training and a certification program for declassification reviewers.

In FY 2011, we explored development, upgrades, and expansion of two of our information technology systems—the Archival Declassification system (i.e. ADRRES) and the Review Redaction system. The ability to provide information technology support that will enable access to digitized records, both born digital and those scanned into a redaction environment, will provide the security required for these documents as well as offer the data needed to track them from accessioning to public availability. Future efforts must allow interaction with the classified instance of ERA to provide redaction review, equity referral, and as necessary, proper exemption of the millions of pages of electronic records that will be accessioned to NARA in the near future.

For classified materials in the Presidential Library system for which we have no delegated declassification authority, we have established a partnership with the Central Intelligence Agency (CIA) called the Remote Archives Capture project (RAC). The RAC project prepares and optically scans all classified twenty-five-year-old documents that cannot be systematically reviewed by the Presidential Libraries. The purpose of this program is to put all classified Presidential materials in a digital format, which can then be transferred back to Washington, D.C. Once in Washington, the digital images are made available to the primary classifying agency for review and declassification of its equities. The equity declassification review is transmitted to a CIA center, which then returns the declassification decisions to the Library.

Meeting the requirements of Executive Order 13526 will be a significant challenge at the Reagan Library where the Library has approximately 8 million pages of textual classified Presidential records. In addition, there are approximately 500,000 pages of classified Vice Presidential records at the George H.W. Bush Library. This represents more classified pages than all of the previous Presidential Libraries combined. In the past five years, the RAC project scanned records at the Reagan Library; however, more than 4 million pages of Reagan Presidential and George H.W. Bush records remain for scanning into the RAC project prior to 2014.

**Key external factors** National security concerns may divert resources from declassification efforts or lead to the withholding of additional records.

We continue to devote resources to assist the Department of Energy (DOE) in surveying and auditing records to ensure that no RD/FRD is inadvertently released. Lack of consistent data, that is, issues with locating records and developing a consistent error-free inventory of all the records, impacts the availability of the records for declassification processing and continuing proper exemption or ultimate release. In addition, we are reliant upon affected agencies to adequately support all the review processes. Finally, we must have sufficient secure space available for all referral review.

Technical support by the CIA is imperative if we are to enable the review of Presidential Library documents by other agencies. Agencies must conduct reviews of their equities in the scanned documents before the Libraries can process the records for release.

New employees hired for the declassification program cannot start work with classified records for many months until their security clearances are approved.

The NDC targets are based on meeting the mandatory 2013 deadline established under Executive Order 13526; however, any reductions to resources will impact our ability to meet these deadlines.

The Presidential Libraries will not meet the referral deadline for 25 year old records of Executive Order 13526 with current levels of funding.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Backlog of pages of Federal records eligible for declassification review at start of year (in thousands of pages).*	420,050	417,098	417,917*	430,595		
Backlog of pages of Presidential materials at start of year (in thousands of pages).	218	127	127	14,173		
<i>Performance target for the number of pages of classified documents 25 years old and older and accessioned into NARA completing declassification processing in the National Declassification Center (NDC) (in thousands).</i>	—	11,000	12,100	100,000	125,000	125,000
Annual number of Federal pages declassified and released to open shelves (in thousands).	260	12,986	8,681	18,779		
Annual number of Presidential pages declassified (in thousands).	80	198	305	107		
<i>Performance target for annual number of Presidential pages scanned (in thousands).</i>	500	500	500	500	700	1,500
Annual number of Presidential pages scanned (in thousands).	519	545	531	831		

\* For FY 2010 data and beyond, the start of year backlog is based on the backlog beginning January 1, 2010, in response to



*Executive Order 13526, issued December 29, 2009. It excludes additional classified records received since then.*

**Milestones**

- FY 2008**
- Quality assurance process for 3,072 cubic feet of records completed and made available for the Interagency Referral Center.
  - The National Declassification Initiative implemented.
- FY 2010**
- The National Declassification Center established by Executive Order 13526.
  - Prioritization Plan that established priorities for declassification and interagency referral review disseminated to public and historical community for input.
  - NDC website and blog to provide timely information to the public established.
  - NDC Open Forum hosted by the Archivist of the United States.
- FY 2011**
- Approximately 500,000 pages of classified Reagan Presidential records for declassification review by equity holding agencies scanned.
  - National Declassification Center in operation at National Archives in College Park.
  - Declassification processing of a cumulative 100 million pages of 25 year old or older classified Federal records accessioned into NARA completed.
  - Study to define NDC's IT needs (i.e. whether classified instance of HMS, ADRES, or ERA) conducted.
- FY 2012 Estimated**
- Approximately 700,000 pages of classified Reagan Presidential records for declassification review by equity holding agencies scanned.
  - Declassification processing of 150 million pages of 25 year old or older classified Federal records accessioned into NARA completed.
- FY 2013 Projected**
- Approximately 1,500,000 pages of classified Reagan Presidential records for declassification review by equity holding agencies scanned.
  - Declassification processing of remaining pages from January, 2010, backlog of 25 year old or older classified Federal records accessioned into NARA completed.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Equity-holding agency: the agency that may have classified information in a document, whether or not it created the document. Without declassification guidelines, only the equity-holding agency can declassify information in the document.

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**Long Range Performance Target 2.5 By 2016, 100 percent of NARA's archival holdings are stored in appropriate space.**

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- FY 12 Estimated Performance**
- Complete first phase of Roosevelt Library renovation.
  - Award contract for second phase of Roosevelt Library renovation.
  - Complete construction of Kennedy Library addition and renovation.
  - Complete move of records from St. Louis-area facilities to National Personnel Records Center facility.
  - Complete National Archives Experience Phase II renovations to the research center.

- 88 percent of archival holdings are in NARA 1571 compliant space. (High Priority Goal)

**FY 13 Projected Performance**

- Complete 50 percent of Roosevelt Library renovation.
- Complete construction of George W. Bush Library.
- Complete National Archives Experience Phase II renovations to the exhibit hall.
- 90 percent of archival holdings are in NARA 1571 compliant space. (High Priority Goal)

**Outcome** Archival records are preserved for public use.

**Significance** Providing appropriate physical and environmental storage conditions are the most cost-effective means to ensure records preservation. We greatly increase the chances of records being available for use by Federal officials and the public for as long as needed.

**Means and Strategies** NARA has an inventory of 16 NARA-owned facilities—the National Archives Building, the National Archives at College Park, 13 Presidential Libraries and Museums, and the Southeast Regional Archives outside of Atlanta. The National Archives Building and the Roosevelt Library are on the National Register of Historic Places, and all of the Presidential Libraries are considered by the State Historic Preservation Officers to be eligible. All of these buildings are archival storage facilities and house historically valuable and irreplaceable documents. Literally hundreds of thousands of visitors go to these facilities to do research, to participate in conferences, and for learning and education opportunities. Maintaining these buildings to meet archival storage requirements, to keep their interiors and exteriors in a proper state of repair, as well as to make them safe and efficient buildings for use by researchers and visitors, is demanding not only in staff resources but also in operating and repair funds.

NARA’s Capital Improvements Plan enables us to program for future major renovations so that the necessary repairs are performed in a programmed manner to ensure continued operations at the facilities. The Capital Improvements Plan is a prioritization of potential building needs.

The National Archives Experience Phase II is a project to create space for a new exhibit gallery at the National Archives Building in Washington, DC. In FY 2012, we will complete the infrastructure needed to house exhibits in this new exhibit gallery, *Freedom Hall*. This gallery will create the opportunity for visitors to connect our country’s 18<sup>th</sup> century struggle for liberty with our world today. Visitors will travel through “*The Pursuit*” and encounter displays such as the *Magna Carta*, with accompanying computer interactives; and original documents that tie the Declaration, Constitution and Bill of Rights to our subsequent national history. The gallery will also feature a “*Struggles for Freedom*” exhibit that provides a documentary record of struggles fought for full participation in our democracy.

The National Archives Experience Phase II renovation will also greatly enhance the access and flow for the more than one million visitors that experience the NARA exhibits each year. The current visitor entrance was designed before September 11, 2001. Security and screening checkpoints implemented after that time to increase security, create bottlenecks in the visitor flow pattern, resulting in more than two-hour wait times for visitors to enter and view the *Charters of Freedom*. The proposed changes will make

our exhibits more inclusive, clarify where visitors need to go to explore our holdings and reduce the barriers to direct participation by visitors in the research process. With ongoing renovations in FY 2012 and FY 2013, we expect to significantly improve the experience of our visitors.

Our state-of-the-art facility in College Park, Maryland, the renovated National Archives Building in Washington, DC, and the archives facility in Atlanta provide appropriate storage conditions for the archival headquarters records of most Federal agencies. However, many of our other facilities require environmental and storage improvements. Several of our twelve leased regional facilities have severe quality problems, including backlogs of needed repairs and renovations and, in some cases, removal of records from their current location to better space is required. Existing Presidential Libraries need upgrades in environmental conditions, several need additional storage space, and many require improvements in information technology and telecommunications capabilities.

In FY 2012, we plan to move archival operations and records storage out of non-compliant space in New York City, NY. Under this plan, the archives' public functions and a small amount of archival records storage will move into the renovated Customs House facility in lower Manhattan. The majority of the archival records will move to a new archival storage bay being built at the Federal Records Center in Philadelphia, PA. Available in FY 2012, this new archival bay will also store the majority of archival records currently stored in non-compliant space in the archives in downtown Philadelphia.

The National Personnel Records Center (NPRC) is the largest NARA operation outside the Washington, DC, housing more than 4 million cubic feet of military personnel records and civilian personnel records. Many of these records were housed in substandard storage facilities. We moved in our new GSA-leased facility for temporary records, the National Personnel Records Center Annex in Valmeyer, IL, after its completion in FY 2009. We completed the move of temporary holdings slated for storage in the NPRC Annex in FY 2011. Our second facility, designed to house NPRC's archival and permanent holdings, was completed in FY 2011. The move of permanent and archival records to this newest NPRC in St. Louis County is scheduled for completion by the end of FY 2012. The new NPRC will house more than 2 million cubic feet of permanent archival records in accordance with NARA archival storage standards 1571.

The renovation of the aging Franklin D. Roosevelt Library will provide environmentally appropriate, safe and secure space for the long-term care of archival and artifact collections. The renovation will also improve conditions for the staff, researchers, and visitors and help maximize productivity and enjoyment of the facility as a place for work and research. In FY 2010 NARA began general site work to support new mechanical and electrical equipment. NARA also began renovating holdings storage rooms and the research room to enhance security and productivity. We awarded the construction contract for the second phase in early FY 2012. Completion of the first phase of renovation will occur in FY 2012. Phase 2 on site renovation will begin after the completion of Phase 1 renovation work.

We had reached the limits of storage capacity at our John F. Kennedy Library. Large volumes of accessioned materials over the years have created overcrowded conditions. The new wing at the Library will alleviate this problem. Construction of the new wing is complete and occupancy began in FY 2011. We expect to complete the move of artifacts from off-site storage back to the Library in FY 2012.

The Dwight D. Eisenhower Library has not had a major renovation since it opened in the mid-1960s. Additionally, preservation requirements have changed since the time of the original construction. The Library complex needs a major renovation to bring each of the buildings up to current standards. Our plans are to take advantage of the fact that there are multiple buildings, and phase the renovation work building by building over two fiscal years.

In FY 2010, NARA performed an updated comprehensive space planning study for the Lyndon B. Johnson Library that documented the need for substantial changes to the building to improve the space utilization and efficiency of the facility since its original 1971 layout. The Library has not had a major renovation since its dedication in 1971. Based on results analyzed from building condition reports, this aging facility is in need of major repairs.

The Ronald Reagan Library was constructed in 1991. While NARA added the Presidential Learning Center to the building in 2003, many systems within the remainder of the building will reach the end of their service life after 25 years and will require a major renovation. Currently, NARA is working to replace the HVAC equipment.

**Key external factors** Public, White House, and Congressional support for our space planning activities is vital to develop and implement proposed plans.

### **Verification and Validation**

<b><i>Performance Data</i></b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>(High Priority Goal): Performance target for percent of NARA archival holdings in appropriate space. Target 85% by FY 2012)</i>	—	—	—	—	85	85
Percent of NARA archival holdings in appropriate space.	73	70	71	78		
Number of archival traditional holdings (in thousands of cubic feet).	3,729	3,937	4,043	4,170		
Percent of artifact holdings in appropriate space.	40	37	40	40		
Number of artifact holdings (in thousands).	582	628	600	597		
Percent of electronic holdings in appropriate space.	100	100	100	100		
Number of electronic holdings in appropriate space (in millions of logical data records).	5,523	6,704	6,944	7,145		
Number of electronic holdings in appropriate space (in terabytes).*	—	—	110	145		
<i>Performance target for cost of compliant archival storage space per cubic foot of traditional holdings stored (adjusted for inflation).</i>	<i>\$5.84</i>	<i>\$6.06</i>	<i>\$5.84</i>	<i>\$5.90</i>	<i>TBD</i>	<i>TBD</i>
Cost of archival storage space per cubic feet of traditional holdings stored.	\$5.85	\$5.83	\$6.16	\$7.19		

\*Volume is being reported in tebibytes (TiB), the traditional IT industry meaning for “terabyte” that includes 1024<sup>4</sup> bytes.

### ***Milestones***

#### **FY 2008**

- Portion of move of Nixon artifact holdings from College Park to Nixon Library completed.
- Plan for upgrades to the Regional Archives in Chicago, Seattle and San Bruno finalized.
- Construction contract for mechanical improvements at the Carter Library awarded.
- Construction contract for Nixon Library expansion awarded.

#### **FY 2009**

- Design for phase I of Roosevelt Library renovation completed.
- Site work contract for Kennedy Library expansion awarded.
- Sprinkler upgrades completed and construction contract for mechanical improvements at Eisenhower Library awarded.
- Construction contract for Carter Library awarded and mechanical improvements completed.
- Design of 1571 improvements for Waltham and San Bruno completed.

#### **FY 2010**

- National Archives Building flood prevention measures completed.
- Portion of construction work for first phase of Roosevelt Library renovation completed.
- Design for phase II of Roosevelt Library renovation completed.
- Mechanical improvements at the Eisenhower Library completed.

- Construction for Nixon Library expansion completed.
- Design for Bush 43 Library completed.
- Ground breaking for new National Personnel Records Center completed.
- Design of 1571 improvements for Chicago and Seattle completed.
- Construction of 1571 improvements for Waltham completed.
- Design for archival storage space at Philadelphia FRC completed.

**FY 2011**

- Construction contract for phase II of Roosevelt Library renovation awarded.
- Move of classified holdings to expanded Nixon Library completed.
- Construction of Bush 43 Library monitored and in progress.
- Construction of Kennedy Library addition completed.
- National Personnel Records Center facility opened for occupancy.
- Construction of 1571 compliant archival storage space at Market Street in Philadelphia completed.
- Design for renovation of space in the Alexander Hamilton U.S. Custom House completed.
- Holdings Protection Program implemented.

**FY 2012 Estimated**

- Construction for first phase of Roosevelt Library renovation completed.
- Construction of second phase of Roosevelt Library renovation monitored.
- Construction of 1571 improvements for Chicago, San Bruno, and Seattle completed.
- Construction of Bush 43 Library monitored.
- Move of archival holdings from the St. Louis-area facilities to National Personnel Records Center facility completed.
- Construction of archival storage space at Philadelphia FRC completed.
- Move of artifacts from off-site storage to Kennedy Library completed.
- Construction contract for Reagan HVAC Phase 2A awarded.
- National Archives Experience Phase II renovations to the research center completed.

**FY 2013 Projected**

- Construction of second phase of Roosevelt Library renovation monitored.
- Construction of Bush 43 Library completed.
- Construction of Reagan HVAC Phase 2A completed.
- Construction contract for Reagan HVAC Phase 2B and 2C awarded.
- National Archives Experience Phase II renovations to the exhibit hall completed.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Appropriate space: storage areas that meet physical and environmental standards for the type of materials stored there. Accession: archival materials transferred to the legal custody of NARA.

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**Long Range Performance Target 2.6 By 2014, 100 percent of NARA records center holdings are stored in appropriate space.**

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**FY 12 Estimated Performance**

- Achieve initial occupancy of Denver records storage facility.
- 85 percent of NARA’s non-archival holdings are in appropriate space. (High Priority Goal).

**FY 13 Projected Performance**

- 90 percent of NARA’s non-archival holdings are in appropriate space. (High Priority Goal).

**Outcome** Agency records are preserved for as long as needed.

**Significance** Providing appropriate physical and environmental storage conditions is the most cost-effective means to ensure records preservation. By doing so, we greatly increase the chances of records being available for use by Federal officials and the public for as long as needed.

**Means and Strategies** We issued revised facility standards to safeguard Federal records in records centers and other records storage facilities. These standards help ensure Federal records are protected whether they are stored by NARA, another Federal agency, or the private sector.

We assist other Federal agencies to bring their facilities under regulatory storage compliance with advice and, if necessary, by inspecting the storage facilities. Examples include Department of Veterans Affairs, Department of Energy, U.S. Customs and Border Protection, Central Intelligence Agency, Library of Congress, and the Copyright Office.

NARA’s system of records centers is supplemented by centers operated by other Federal agencies and private interests. Federal agencies’ certify that the storage facilities they plan to use are in compliance with the Facility Standards for Records Storage Facilities (36 CFR 1234). The standards were initially issued in 1999 and revised in September 2005. The new standards, effective October 1, 2009, placed more stringent compliance requirements on existing facilities. We have assisted agencies by communicating compliance requirements at our annual NARA-sponsored Records Administration Conference (RACO) and we have issued a Records Storage Facility Standards Toolkit, available both in hard copy and on the web. This toolkit provides agencies with the information needed by Records Officers to verify that a facility meets the required storage standards.

We have also made extensive efforts to upgrade and, if necessary, replace several of our other records center storage facilities. We are replacing aging facilities on the existing Denver Federal Center that meet neither archival nor temporary records storage standards. Working with GSA over a two year period, a lease was awarded in FY 2011 for a new facility that will be built by a private developer and leased back to NARA over a 20-year term. The new facility will house the Federal Records Center, the regional archives, and records management. In addition, the new facility will store 750,000 cubic feet of records, meeting both 36 CFR 1234 and NARA 1571 storage standards. Delays in awarding the lease will push development and initial occupancy of the facility to FY 2012 with full occupancy planned for FY 2013.

In FY 2011 we achieved a major milestone and moved into our new National Personnel Records Center in St. Louis. This facility houses more than 700 NARA employees, a dozen other Federal agencies, and more than two million cubic feet of records in fully compliant space. By FY 2012, we will complete the movement of records from three facilities in our St. Louis area to the new facility. Records will include all Official Military Personnel Files, Organizational and Auxiliary files, and Official Personnel Folders of former civilian Federal personnel who separated prior to 1973.

**Key external factors** Agencies may choose to store records in facilities not controlled by NARA.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>(Priority Goal): Performance target for percent of NARA records center holdings stored in appropriate space (target 85% by 2012).</i>	—	100	—	85	85	
Percent of NARA records center holdings stored in appropriate space.	—	—	62	68		
Percent of NARA records center facilities certified as meeting the 2009 regulatory storage standards	33	48	48	TBD		

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Volume of records center holdings (cubic feet in millions).	26.6	27.2	27.6	27.7		
Storage price per cubic foot for records center holdings.	\$2.40	\$2.40	\$2.52	\$2.52		

**Milestones**

**FY 2008**

- Move out of Bannister Road records center in Kansas City completed.
- New records center facility in Fort Worth, Texas, certified.
- 2 records center facilities storage standards certified.
- Lease agreement to construct a National Personnel Records Center Annex for temporary records completed.

**FY 2009**

- Two records center facilities certified.
- Construction of National Personnel Records Center Annex completed.
- Move of more than 80 percent of holdings slated for National Personnel Records Center Annex completed.

**FY 2010**

- Lease agreement to construct a records center storage facility in Denver completed.
- Measurement methodology revised to track cubic feet of holdings.
- Lease and occupancy of two-bay expansion at National Personnel Records Center Annex completed.

**FY 2011**

- GSA lease for Denver records storage facility awarded.
- Move of remaining MPR and CPR holdings into new bays at the National Personnel Records Center Annex completed.
- Initial occupancy of the new National Personnel Records Center completed.

**FY 2012 Estimated**

- Initial occupancy of Denver records storage facility completed.
- Move of holdings slated for the National Personnel Records Center completed.
- Upgrades at Washington National Records Center for compliance with CFR standards completed.

**FY 2013 Projected**

- Move of records center holdings into newly leased Denver facility completed.
- Upgrades at San Bruno records storage facility for compliance with CFR standards completed.

**Data source** Quarterly performance reports to the Archivist.

**Definitions** Appropriate space: storage areas that meet physical and environmental standards for the type of materials stored there.

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**Long Range Performance Target 2.7 By 2016, less than 50 percent of archival holdings require preservation action.**

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**FY 12 Estimated Performance**

- Appropriately treat and remove 65,000 cubic feet of NARA's at-risk archival holdings from preservation backlog.
- Deploy Holdings Management System (HMS) in five additional regional archives.
- Conduct preservation reviews at six NARA locations.

**FY 13 Projected Performance**

- Appropriately treat and remove 65,000 cubic feet of NARA's at-risk archival holdings from preservation backlog.
- Deploy Holdings Management System (HMS) in National Personnel Records Center.
- Conduct preservation reviews at six NARA locations.

**Outcome** Provide public access to records for as long as needed through preservation action.

**Significance** The National Archives mission focuses on preserving and providing access to the accessioned records of the Federal government. The accessioned Federal records provide the foundation of a democratic society by documenting the rights and interests of citizens and the actions of our Government and nation.

**Means and Strategies** Providing public access to records for as long as needed requires that we manage risk, assess the preservation needs of holdings, provide storage that retards deterioration, and treat, house, duplicate and often reformat holdings. NARA preserves more than 10 billion pages of traditional holdings and the number continues to grow each year as more records are accessioned. We must address the needs of a wide variety of formats and media in our holdings—paper records, including maps and designs, audio and video tape recordings, motion pictures, aerial and still photography, acetate, microfilm and other microforms, maps, and artifacts across the National Archives' Federal, legislative, and Presidential holdings. The permanent records include a wide range of materials and subjects documenting the rights and obligations of citizens, most notably, the service of America's veterans, and documenting the actions of our Government and nation to provide transparency and the foundation of a democratic society.

Approximately two-thirds of NARA's textual and non-textual records are at risk of not being preserved and available for use by future generations. These records at risk create the backlog that we strive to preserve. NARA's first priorities for preservation include audio and video records, high use records, acetate and color film requiring cold storage, brittle, fragile and damaged paper records, and fragile artifacts. We take the necessary preservation actions by providing the appropriate storage environment, housing records according to their needs, reformatting fragile records for preservation and use, and performing conservation treatment on damaged records.

NARA preserves the records of more than 57 million military veterans who have served since 1885. The Official Military Personnel Files (OMPFs) and related holdings from National Personnel Records Center in St. Louis moved to a new GSA-leased facility in FY 2011. Record moves are slated for completion by the end of FY 2012. Relocating these records to a controlled environment is an essential, cost-effective first step in stabilizing their condition. Over the next 60 years, Official Military Personnel Files (OMPFs) will be accessioned to a point where all 1.5 million cubic feet (57 million records) will be opened to the public.

Preservation actions on the OMPFs address the accessibility of highly used, fragile, and damaged records. A comprehensive physical needs assessment demonstrated that 66 percent of the records contain more than 46 physical media and information formats, including brittle paper, photographic media, recorded sound, and 35 artifact types including metal dog tags, hair samples, blood strips, rifle targets, and plastic identification cards. Most of the paper is brittle and has damage from handling, creases, fire, and mold. Timely access is provided by taking the necessary preservation actions including conservation and



reformatting.

NARA continues to be challenged by the rapid technological changes in digitization and preservation and access to electronic records and audio and visual holdings. To ensure preservation of significant audio and visual heritage from the 19<sup>th</sup> and 20<sup>th</sup>-century, digitization is replacing analog reformatting for records in imminent danger of loss. We made the transition to digital formats for preservation and access in the last five years. Motion picture and aerial files continue to be preserved by both analog and digital processes.

NARA is implementing a Holdings Management System (HMS) to improve control and management of traditional holdings. HMS allows NARA to enhance security by tracking physical location, to document record groups at risk and preservation actions completed, and will allow tracking of use in the future. The HMS will provide documentation and requirements for additional space needs and preservation actions. HMS continues to be deployed to all locations with traditional accessioned records.

In FY 2010, a five-year preservation reviews program was initiated to review and compile information on preservation of holdings at NARA repositories across the nation. Preservation reviews provide recommendations to address facility or program preservation issues leading to the development of five-year preservation planning tools. Examination of six facilities in FY 2011 culminated in the development of our next five-year preservation plan. The significant outcomes of the plan include prioritization of preservation actions, improved management and tracking of preservation actions, support to address weaknesses in the preservation program at each facility, and identification of resources needed to implement the preservation plan. Plan recommendations will be carried out in FY 2012 and FY 2013.

The National Archives maintains a challenging pace to make progress on the preservation needs of all accessioned Federal and Presidential records and to provide access to our customers when and where needed.

**Key external factors** Large increases in accessioned records, a lack of appropriate storage space and increasing energy costs, growing demands for access to records and limited access to commercial services to preserve specialized audiovisual holdings could delay achievement of performance objectives.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percent of archival holdings that require preservation action.</i>	≤ 65	≤ 65	≤ 65	≤ 65	≤ 62	
Percent of archival holdings that require preservation action.	65	65	64	62		
Backlog of holdings requiring preservation action (in thousands of cubic feet).	2,425	2,571	2,578	2,636		
At-risk archival holdings that received preservation treatment this year (thousands of cubic feet).	125	116	110	79		
Archival holdings treated and removed from the backlog this year (thousands of cubic feet)	91	46	56	96		
Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet).	91	93	94	97		

***Milestones***

**FY 2008**

- Digitization equipment and IT support for analog-to-digital transition identified and procured.
- Prototype of HMS developed.

- FY 2009**
  - Measures for quantity of dynamic media record holdings that can be preserved digitally established.
  - Plan for conversion of dynamic media records holdings to digital format developed.
  - Additional storage capacity for digital products reformatted for preservation purposes acquired.
  - IOC of HMS deployed in Archives II Textual units and staff trained
- FY 2010**
  - Dynamic media records preserved in digital format.
  - HMS deployed at Archives I and in archives facilities in Philadelphia and Boston.
  - Reviews of preservation needs at six NARA locations.
- FY 2011**
  - HMS deployment in at least three additional regions completed.
  - Reviews of preservation needs at six NARA locations.
- FY 2012 Estimated**
  - HMS deployment to five additional regional archives completed.
  - Reviews of preservation needs at six NARA locations.
  - Long-range preservation plan developed.
- FY 2013 Projected**
  - HMS deployment to National Personnel Records Center completed

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** At-risk: records that require preservation action to retard deterioration and stabilize condition, including storage in the appropriate environment, housing to provide physical and chemical stability, reformatting, and conservation treatment. At risk records are imperiled by physical and chemical damage and inaccessibility due to obsolete technology. Dynamic media: record holdings in formats including audio, video, and motion picture.

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**STRATEGIC GOAL 3 WE WILL ADDRESS THE CHALLENGES OF ELECTRONIC RECORDS IN GOVERNMENT TO ENSURE SUCCESS IN FULFILLING NARA’S MISSION IN THE DIGITAL ERA.**

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- Long Range Performance Targets**
- 3.1 By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.
  - 3.2 By 2016, 80 percent of archival electronic records are preserved according to plan.
  - 3.3 By 2016, the per-megabyte cost of managing archival electronic records through the Electronic Records Archives (ERA) decreases each year.

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**Long Range Performance Target 3.1 By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.**

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- FY 12 Estimated Performance**
- Sustain 85 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.
  - Achieve 75 percent migration of legacy holdings to ERA system for Federal records.
- FY 13 Projected Performance**
- Sustain 88 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.
  - Achieve 100 percent migration of legacy holdings to ERA, to include classified records, Title 13 records, and donated materials.

**Outcome** Electronic records of archival value are available promptly for use.

**Significance** We must guarantee the continuing accessibility of the permanent electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential documentation necessary to prove their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records and transfer the permanent ones to NARA.

**Means and Strategies** The goal of our Electronic Records Archives (ERA) is to address the growing volume, variety, and complexity of electronic records transferred to NARA. We understand that the public expects government information and services to be available online and delivered through their channel of choice. To meet these expectations, our holdings must be preserved, available and accessible by the public online. At the end of the Clinton Administration, the White House transferred several

terabytes of electronic records to NARA for storage and preservation. When the Bush Administration ended in January 2009, NARA received approximately 77 terabytes of email, office automation records, digital photographs, and other multi-media electronic formats. By the end of FY 2010, we had more than 100 terabytes of electronic holdings, 83 of them managed by ERA. During FY 2011, the Census Bureau transferred electronic images comprising more than 488 terabytes of data from the 2010 Census. Digital Military Personnel Files represent estimated transfers of a billion files over 10 years. We are currently performing archival verification on this data to begin ingest into ERA in FY 2012.

Our ability to process archival electronic records will be enhanced by ERA. After successfully implementing the initial operating capability of ERA in FY 2008, we began the process of migrating accessions from our existing holdings into ERA. Since then, we continue to run dual operations—both ERA and portions of our legacy systems—as we continue to migrate the remaining legacy holdings to ERA. In FY 2013, we will complete the migration of all of NARA’s legacy holdings for unclassified, classified and Title 13 records, as well as donated materials.

**Key external factors** Progress in processing Presidential electronic records may be hindered by an unusually large number of special access requests or PRA/FOIA requests and the need to review records page by page.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.</i>	80	80	80	83	85	
Percent of archival electronic accessions processed.	86	88	88	83		
Number of accessions received.	2,328	2,467	2,674	2,938		
Number of accessions processed.	2,004	2,188	2,349	2,429		
Unprocessed accessioning backlog (in accessions).	324	288	325	509		

\* Processing completed for numerous electronic record holdings received more than 5 years ago.

***Milestones***

- FY 2008**
  - Legacy data migration testing and data cleanup completed.
  - Data migration of electronic records on legacy media for transfer to ERA initiated.
- FY 2009**
  - Capability for ERA pilot users to perform basic records management functions and transfer records into ERA completed.
- FY 2011**
  - Legacy holdings migration to ERA continued.
- FY 2012 Estimated**
  - Substantial portion of unclassified legacy holdings migrated to ERA.
- FY 2013 Projected**
  - Remaining legacy holdings, including classified records, Title 13 records, and donated materials migrated to ERA.

**Data source** The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**Long Range Performance Target 3.2 By 2016, 80 percent of archival electronic records are preserved according to plan.**

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- FY 12 Estimated Performance**
- Establish a methodology for evaluating preservation risk.
  - Develop Preservation and Access Plans for selected high priority archival electronic formats.
  - Transform 100 percent of standard EBCDIC records to ASCII records in accordance with our preservation and access plan.
- FY 13 Projected Performance**
- Develop Preservation and Access Plans for selected high priority archival electronic formats.
  - Establish percent of archival electronic records preserved according to plan.
  - Transform 100 percent of non-standard EBCDIC to ASCII in accordance with our preservation and access plan.

**Outcome** Electronic records of archival value are effectively preserved for future generations.

**Significance** We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. There will be a loss in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

**Means and Strategies** In the long term, ERA will allow the National Archives to preserve and maintain any electronic records series according to recommendations in specific preservation and access plans. The ERA system will enable NARA and the Presidential Libraries to preserve permanent holdings to maximize the number of records available to researchers. We will preserve and maintain permanent electronic records in any format and transform these records to the most appropriate format needed, or to a persistent format or state when possible. This work will be carried out based on the technological characteristics of the records, expected customer demands or interests, the needs of the records' originators, the laws and regulations requiring differing levels of control, and NARA's business strategies and priorities.

Our Transformation Framework and Model include the principles NARA will use to transform records from one format to another. We prepared a draft of our Transformation and Significant Properties principles, outlining the significant properties of records that must be preserved over time to ensure the continued accessibility, usability, and meaning of the records. It also includes the practical steps NARA needs to take to implement the framework principles during the lifecycle management of records.

We deployed software in ERA with capability to transform standard EBCDIC to ASCII. This software development effort, expanding from requirements definition up through the development of actual code was achieved in FY 2011. Deployment of the EBCDIC to ASCII transformation solution provides NARA with a benchmark to gauge future long-term preservation efforts. In FY 2012 and beyond, to

mitigate the threats and risks to the preservation of electronic records, we will assess the digital preservation needs of the archival electronic formats in NARA’s custody and establish criteria to prioritize the development of Preservation and Access plans and implement recommendations for all archival electronic holdings requiring action for long term preservation and accessibility.

**Key external factors** The results of existing and future research and development into electronic records preservation may change the requirements and costs for an electronic records preservation system.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target of percent of NARA’s electronic holdings accessioned and preserved according to plan.</i>	—	—	—	—	—	<i>Establish baseline</i>
Percent of NARA’s electronic holdings that are accessioned and preserved according to plan.	—	—	—	N/A		
Number of archival holdings accessioned (in terabytes).*	—	—	100	142		
Number of terabytes of archival holdings managed in ERA (includes pre-accessioned electronic records).*			83	124		

\*Volume is being reported in tebibytes (TiB), the traditional IT industry meaning for “terabyte” that includes 1024<sup>4</sup> bytes.

***Milestones***

- FY 2008**
  - Draft methodology for capability to measure preservation of electronic records in a persistent format developed.
- FY 2010**
  - Criteria and policy for establishing planned levels of service to preserve and make available archival electronic records defined.
- FY 2011**
  - Technical solution for transforming plain EBCDIC files to ASCII implemented.
- FY 2012 Estimated**
  - Methodology for evaluating preservation risk established.
  - Preservation and Access plans for selected high priority archival electronic formats developed.
- FY 2013 Projected**
  - Means for testing alternative for converting (transforming) electronic records that are “at risk” established.

**Data source** The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Preservation media – Media on which permanent electronic records are stored. Preservation media includes 3480-Class magnetic tape cartridges, Digital Linear Tape, and Electronic Records Archives disk storage.

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**Long Range Performance Target 3.3 By 2016, the per-megabyte cost of managing archival electronic records through the Electronic Records Archives will continue to decrease each year.**

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- FY 12 Estimated Performance**
  - Mandate ERA use by Federal agencies in scheduling and transferring permanent records in all media to NARA.
  - Carry out corrective and adaptive maintenance tasks.

**FY 13 Projected Performance** • Carry out corrective and adaptive maintenance tasks.

**Outcome** Electronic records of archival value are economically preserved.

**Significance** We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. We must do this within existing budgetary resources allocated. If we cannot do this, citizens, corporations, and the Government will lose the essential records necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially.

**Means and Strategies** Through the Electronic Records Archives (ERA), we are creating a technology system designed to preserve and manage permanent electronic records and to manage the lifecycle of paper records and other holdings, including the development of records schedules and the management of accessioning processes for all Federal records. ERA leverages storage and data processing technology so that large quantities of historical data can be transferred into the archives, preserved, and accessed at the lowest possible costs to the Government.

ERA lowers costs by storing large quantities of electronic records in increasingly higher density storage units. The system also reduces or eliminates manual archival processing steps and replaces them with less expensive automated processes. It permits automated transactions rather than labor-intensive paper-based actions, thereby saving money for both NARA and the agencies interacting with ERA.

ERA operates from a primary site in West Virginia and uses a backup site in Maryland for media storage. The primary site provides for the transfer, verification, and storage of unclassified and Sensitive But Unclassified (SBU) records from NARA's existing holdings. ERA deployments since initial operating capability in FY 2008 include major releases covering Federal Records (Base), the Executive Office of the President (EOP), Congressional Records Instance (CRI), Online Public Access (OPA), Classified ERA (CERA), and Title 13 (Census). In FY 2011, we awarded a 10-year operations and maintenance contract for ERA. The breadth of responsibilities range from support and maintenance of the development and test environment, performance of corrective and adaptive software maintenance, sustaining engineering, and technology refresh tasks, to all support necessary to maintain the instances. This transition will signal the end of ERA development activities and move us to an operations and maintenance phase.

By September 2012, all Federal agencies must use ERA for scheduling records and transferring permanent records to NARA. In anticipation of ERA becoming mandatory by the end of FY 2012, we implemented an aggressive communication schedule to push Federal agency adoption and use of ERA. Our rollout of ERA is scheduled in two phases. The first phase began in FY 2011 to all of the CIO Council departments and agencies. The second phase rollout to all other agencies began in late FY 2011 and is scheduled for completion by the end of FY 2012. In FY 2011, approximately 160 agencies signed up for start dates to begin using ERA.

With all agencies onboard and ERA designated as the mandatory method for agencies to conduct scheduling and permanent records transfer transaction with NARA in FY 2012, we anticipate having or purchasing enough storage space to accommodate an additional 40 terabytes of volume during the year. To assist and support agencies in their use of ERA, NARA has created [on-line training](#), guides and instructional materials, and lists of frequently asked questions. The materials are located on NARA's web site at <http://www.archives.gov/records-mgmt/era/>.

**Key external factors** The results of existing and future research and development into electronic records preservation may change the requirements and costs for an electronic records preservation system.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for megabyte cost to manage archival electronic records decreases each year.</i>	—	<i>Establish baseline</i>	\$0.36	\$0.15	\$0.13	<i>TBD</i>
Per megabyte cost to manage archival electronic records decreases each year.	\$0.39	\$0.36	\$0.15	\$0.12		
Number of terabytes of archival electronic records managed by ERA (includes pre-accessioned electronic records).*	—	77	83	124		

\*Volume is being reported in tebibytes (TiB), the traditional IT industry meaning for “terabyte” that includes 1024<sup>4</sup> bytes.

***Milestones***

- FY 2008**
  - Initial operating capability of the ERA system for Federal records achieved.
  - Data ingestion from legacy systems and four Federal agencies begun.
  - Pilot for the ERA system for Presidential electronic records completed.
  - Sample data ingested into the pilot Presidential system.
  
- FY 2009**
  - Initial operating capability of the systems for Presidential electronic records achieved.
  - Requirements for public access and long-term preservation developed.
  - ERA infrastructure and architecture enhanced.
  
- FY 2010**
  - System capacity increased to accommodate extension of system to additional agencies.
  
- FY 2011**
  - Base architecture realignment activities completed.
  - Alternatives analysis for handling restricted information in ERA conducted.
  - Capability to record decisions about the release of Presidential records designed and implemented in ERA.
  - New ERA Operations and Maintenance contract awarded.
  
- FY 2012 Estimated**
  - Use of ERA by Federal agencies to transfer electronic records to NARA mandated.
  - Additional 40 terabytes of Federal records from agencies ingested into ERA.
  - Corrective and adaptive maintenance tasks that increase ERA efficiency and reduce per-megabyte cost of managing archival electronic records performed.
  
- FY 2013 Projected**
  - Additional 40 terabytes of Federal records from agencies ingested into ERA.
  - Corrective and adaptive maintenance tasks that increase ERA efficiency and reduce per-megabyte cost of managing archival electronic records performed.

**Data source** The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.



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**STRATEGIC GOAL 4 WE WILL PROVIDE PROMPT, EASY, AND SECURE ACCESS TO OUR HOLDINGS ANYWHERE, ANYTIME**

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- Long Range Performance Targets**
- 4.1 By 2016, NARA customer service standards for researchers are met or exceeded.
  - 4.2 By 2016, 1.4 percent of NARA’s traditional holdings are available online.
  - 4.3 By 2016, 95 percent of archival holdings are described in an online catalog.

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**Long Range Performance Target 4.1 By 2016, NARA customer service standards for researchers are met or exceeded.**

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- FY 12 Estimated Performance**
- Meet or exceed NARA’s published standards for access to records and services and customer satisfaction levels:
    - 94 percent of written archival requests are answered within 10 working days;
    - 95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
    - 89 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
    - 92 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less.

- Successfully maintain average OGIS case closing time of 34 working days.

- Establish mediation program to resolve FOIA disputes.

- FY 13 Projected Performance**
- Meet or exceed NARA’s published standards for access to records and services and customer satisfaction levels:
    - 94 percent of written archival requests are answered within 10 working days;
    - 95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
    - 90 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
    - 93 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less.

**Outcome** Our customers are satisfied with NARA’s service.

**Significance** Our customers deserve the best service we can deliver. Through the measurement of performance against customer service standards, development of customer service teams and customer

service training, customer surveys, and process redesign efforts in areas that traditionally had high backlogs, we are coordinating our efforts to ensure that our customer service meets our customers' needs.

**Means and Strategies** Serving our customers is one of our primary areas of focus, and we are continually making process improvements in our research rooms, training staff in customer service principles, employing customer service teams, modernizing and upgrading research room equipment, adding research room staff, and adjusting hours of service to make it easier for more people to use our services. We added public computer terminals with Internet access in all of our research rooms nationwide. In the National Archives buildings in Washington, DC, and College Park, MD, we have successfully implemented wireless service in the public areas.

Our research facilities at the National Archives Building in Washington, D.C., consolidate in one convenient location access to preeminent genealogy resources in the Washington area. Thousands of genealogists come to the National Archives Building in Washington to use our original records, microfilm copies, and online resources. Our Genealogy Consultation Room provides customers with highly knowledgeable staff and volunteers to help develop research strategies and use finding aids. Our online orientation presentation for customers also helps them get started on the road to their family history.

Throughout National Archives facilities around the country, visitors may search for historical family information among citizenship and nationalization, census, bankruptcy, and Federal court documents, and may use online and microfilm resources including free access to genealogy subscription services. Our staff experts are available to guide our customers in their exploration and research.

NARA has established partnerships nationwide and is exploring new partnership opportunities that would digitize many of our holdings (see related target 4.2), thereby greatly increasing public access to these records. These partnerships will help us find cost-effective and efficient ways to bring high-interest and representative documents to our users over the Internet. We also strive to provide timely Internet access to high-interest documents such as 9/11 Commission records and materials relating to nominees for appointment to key government positions and the Supreme Court.

The OPEN Government Act of 2007 amended the Freedom of Information Act (5 U.S.C. 552) to create an Office of Government Information Services (OGIS) within NARA to strengthen FOIA throughout the Executive branch, ensure transparency of Government information to the public, and offer mediation services to resolve disputes between FOIA requesters and agencies as a non-exclusive alternative to litigation. The OGIS also provides services as the FOIA ombudsman to facilitate communications between Federal government agencies and the public. We offer mediation services which includes dispute resolution skills training. We examine ways to improve the FOIA referral and consultation process by using existing technology available to the federal intelligence, law enforcement and foreign relations communities. In mid-FY 2011, OGIS submitted recommendations to the President on ways to improve the administration of FOIA.

We will develop a comprehensive plan for reviewing agency compliance with FOIA and for recommending improvements to FOIA administration in FY 2012. Harvard Law School Negotiation and Mediation Clinical Program approved an OGIS project proposal for the fall semester 2011. Our goal with the project is to gain additional insight on methods of evaluating success in dispute resolution and stakeholder satisfaction. We will define methods to evaluate our success in FY 2012 while continuing to offer dispute resolution skills training for FOIA professionals. Although we see evidence of acceptance of dispute resolution processes by both the FOIA requester community and by government FOIA professionals, to effectively advance OGIS's statutory mission, we will focus outreach efforts to two key stakeholder groups, Chief FOIA officers and agency general counsels. In FY 2013, we will expand our

outreach to the federal Alternative Dispute Resolution (ADR) community so that the agency FOIA and ADR professionals work together.

We implemented an information technology solution to manage OGIS cases in early FY 2012. We also moved to a hosted cloud-based solution to concurrently manage and track cases for mediation of FOIA cases as well as provide a public web portal to communicate and educate the public on FOIA-related matters and FOIA disputes. We will expand the public web portal in FY 2013 to include training materials and videos to be used by numerous federal agencies and the public.

**Key external factors** Unexpected increases in records holdings or public interest in groups of records can significantly increase workloads, response times, and wear and tear on public use equipment. NARA cannot control the response time for FOIAs that must be referred to other agencies.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for written requests answered within 10 working days.</i>	91	92	93	94	95	94
Percent of written requests answered within 10 working days.	94	95	93	95		
<i>Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.</i>	86	87	87	88	89	90
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	89	86	89	89		
Number of FOIAs processed.	13,483	17,512	15,771	17,182		
Annual cost to process FOIAs (in millions).	\$2.34	\$2.76	\$2.97	\$3.16		
Annual per FOIA cost.	\$173	\$158	\$189	\$184		
<i>Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.</i>	90	93	94	94	95	95
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	93	93	96	97		
Number of researcher visits to our research rooms (in thousands).	140	129	137	131		
Number of items furnished in our research rooms (in thousands).	577	553	564	578		
Number of items furnished on time in our research rooms (in thousands).	538	515	539	560		
<i>Performance target for archival fixed-fee reproduction orders through OFAS are completed in 20 (35 pre-2007) working days or less.</i>	85	90	90	91	92	93
Percent of archival fixed-fee reproduction orders through OFAS are completed in 20 working days or less (Note: Previous reports based on 35 working days for pre-2007 data).	68	90	96	96		
Average per order cost to operate fixed-fee ordering.	\$30.59	\$38.06	\$40.49	\$39.59		
Average order completion time (days).	22	18	13	13		

***Milestones***

**FY 2008**

- NARA’s published standards for access to records and services exceeded.

**FY 2009**

- NARA’s published standards for access to records and services and customer satisfaction levels exceeded.

- FY 2010**
  - Office of Government Information Services operational.
  - Infrastructure to support wireless capability in Headquarters and College Park facilities installed.
- FY 2011**
  - Recommendations to improve government-wide FOIA administration process identified.
  - Dispute resolution skills training for agency FOIA professionals provided.
  - Enterprise Management Infrastructure (EMI) to support wireless capability in regional archives nationwide installed.
- FY 2012 Estimated**
  - Hardware requirements for wireless capability in regional archives nationwide surveyed.
  - Mediation program to resolve FOIA disputes established.
  - Dispute resolution skills training for agency FOIA professionals expanded.
  - Comprehensive plan for reviewing agency compliance with FOIA and recommending improvements to FOIA administration developed.
- FY 2013 Projected**
  - Initial stages of plan for reviewing agency compliance with FOIA implemented.
  - Advanced Dispute Resolution Skills training course for inter-agency groups developed.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Request price for military service separation agreements from *FY 2012 Records Center Program Rate Schedule*, which is provided annually to agencies in an attachment to their interagency agreement.

**Definitions** Written requests: requests for services that arrive in the form of letters, faxes, e-mails, and telephone calls that have been transcribed. Excludes Freedom of Information Act requests, personnel information requests at the National Personnel Records Center, Federal agency requests for information, fulfillment of requests for copies of records, requests for museum shop products, subpoenas, and special access requests.

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**Long Range Performance Target 4.2 By 2016, 1.4 percent of traditional holdings are available online.**

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- FY 12 Estimated Performance**
  - One percent of NARA’s traditional archival holdings are accessible online.
  - Open 1940 Census records to the public.
  - Develop a digitization strategy for access and preservation.
- FY 13 Projected Performance**
  - 1.1 percent of NARA’s traditional archival holdings are accessible online.
  - Streamline processes for digitization in alignment with the digitization strategy.

**Outcome** Archival materials are available online for public use.

**Significance** We must guarantee the continuing accessibility of the records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially.

**Means and Strategies** To increase the amount of archival material that we make available online, we are engaging in four major strategies:

- Gathering existing digital copies of traditional archival material and make them available online;
- Engaging in partnerships to digitize selections of traditional archival material;
- Exploring innovative NARA-led projects for digitizing archival material that will also allow us to develop our internal capacity in this area; and
- Making electronic records, which are “born digital,” available online, as appropriate.

First, our plan includes the identification and publication of online material that has already been digitized by NARA, but for one reason or another is not available online. For example, NARA has digitized a large number of high interest documents for exhibits. Many of these materials have been described and placed online in our online catalog.

Second, we continue to explore a variety of new partnership opportunities that would digitize many of our holdings, thereby greatly increasing public access to these records. These partnerships allow us to find cost-effective and efficient ways to bring high-interest and representative documents to our users over the Internet. NARA seeks to partner with organizations from a variety of sectors (private, public, non-profit, educational, government) to digitize and make available traditional holdings. NARA currently is working with several partners and, to date, more than 60 million records are available online through our partners.

Third, we continue to explore innovative ways to increase our own capacity to digitize selections of our holdings. We will look for sources of funding and support for specific high-interest projects. We continue to strive to provide timely Internet access to high-interest documents. For example, we digitized the Pentagon Papers and added them to our online catalog. Although versions of the papers had been available for 40 years, this was the first time a complete set was available online. Further, the Kennedy Presidential Library launched its Digital Archives, making available the President’s Office files and other high use archival materials, while the Roosevelt Library is digitizing the President’s Secretary’s files and Eleanor Roosevelt’s correspondence files.

In addition, we are preparing for the opening of the 1940 Census records on April 1, 2012. Since 1790, the Federal Government has collected census information on its residents every ten years. Under a special agreement between the Archivist of the United States and the Director of the Bureau of the Census, census information on individuals is released to the public 72 years after it is collected. Although the records are on more than 4,600 rolls of 35 mm microfilm, we completed the digitization of the entire 1940 Census in FY 2011 and will make them digitally available in 2012. With the assistance of volunteers authorized by the Bureau of the Census, we are ensuring that the digitized Census schedules can be browsed at the enumeration district level on the day they are released. We will complete preparing the metadata for the digitized version of these records in FY 2012. We continue to explore innovative ways to increase timely Internet access and provide the level of indexing requested by researchers.

Fourth, we maintain our Access to Archival Databases (AAD) system, which makes select “born digital” database records available online. Launched in 2003, AAD met an immediate need to provide online access to high-volume and high-demand electronic records from the Department of State and other agencies. We are continuing to increase the number of records available to the public through this tool, however, a selection of AAD records are now available through NARA’s Online Public Access (OPA) prototype.

We deployed a prototype of NARA’s OPA capability to the public in early FY 2011. The OPA prototype

currently provides access to nearly one million electronic records currently in ERA. OPA includes enhanced search capabilities, image zoom functionality essential for handwritten records, interaction with social network websites, and public tagging capabilities. We also plan to implement key features such as the capability to record decisions about the release of Presidential records. Advances in technology have created an opportunity for NARA to refine the ERA architecture deployed at initial operating capability. These advancements allow ERA to make better use of commercial off-the-shelf products and rely less on custom software.

**Key external factors** We intend to accomplish much of this goal through partnerships with other organizations that want to publish our holdings on their web sites.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percent of traditional records available online.</i>	0.2	0.2	0.3	0.65	1.00	1.10
Percent of traditional records available online.	0.04	0.04	0.6	0.8		
Percent of accessioned electronic records available online.	1.4	1.3	1.4	TBD		

***Milestones***

**FY 2008**

- Measurement methodology for number of archival holdings accessible online developed.
- More than 18,000 existing digital copies harvested and added to the Archival Research Catalog (ARC).
- Agency business requirements for digital storage needs identified.
- RFI to explore Census partnership potential published.

**FY 2009**

- ARC upload tool for uploading descriptions with digital objects enhanced.
- Working group to explore strategies for NARA-led digitizing of 1940 Census records chartered.

**FY 2010**

- New description tool to provide access to millions of item descriptions with links to digital partners under development.
- NARA Digitization Working Group to identify improvements to digitization at NARA established.
- Suite of 1940 Census products identified and evaluated.
- ERA Online Public Access (OPA) prototype deployed to NARA staff.

**FY 2011**

- Digitization of 1940 Census completed.
- Kennedy Library Digital Archives launched.
- Digitization and online availability of Elena Kagan records at the Clinton Library completed.
- Chronology and associated digital assets of George W. Bush added to the online Presidential Timeline.
- ERA Online Public Access (OPA) prototype deployed to NARA the public.

**FY 2012 Estimated**

- Metadata for digitized version of the 1940 Census completed.
- 1940 Census records opened to the public.
- High-use materials from Roosevelt, Kennedy, Nixon, Ford, and Clinton Libraries digitized and made available.

**FY 2013 Projected**

- NARA’s approach to and development of digitization for access and preservation processes and methodologies optimized.
- NARA’s position on partnership projects for alignment with digitization strategy reviewed.

**Data source** The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**Long Range Performance Target 4.3** By 2016, 95 percent of NARA archival holdings are described in an online catalog.

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- FY 12 Estimated Performance**
- Describe 80 percent of NARA traditional holdings in our online catalog.
  - Describe 80 percent of NARA artifact holdings in our online catalog.
  - Describe 80 percent of NARA electronic holdings in our online catalog.
- FY 13 Projected Performance**
- Describe 85 percent of NARA traditional holdings in our online catalog.
  - Describe 85 percent of NARA artifact holdings in our online catalog.
  - Describe 85 percent of NARA electronic holdings in our online catalog.

**Outcome** Researchers find the descriptive information they need about NARA archival holdings in one convenient location.

**Significance** In a democracy, the records of its archives belong to its citizens. NARA is committed to ensuring that citizens anywhere, anytime can gain access to information about and from the records of our Government. A key strategy to fulfilling that commitment is the operations of NARA's online catalog. Eventually, the functionality and data in the online catalog will be incorporated in or interface with the Electronic Records Archives.

**Means and Strategies** The online catalog provides the researcher with comprehensive, self-service, descriptions of our nationwide holdings. In the past, researchers had to search through various published and unpublished catalogs, indexes, and lists, many of which were out of date, out of print, or available in one location only. Our catalog ensures that anyone, anywhere with an Internet connection can browse descriptions of our holdings, including electronic records, in our Washington, DC, area archives, regional archives, and Presidential Libraries. NARA's catalog contains descriptions of more than 2.9 million cubic feet of our textual holdings, more than 466,000 artifacts, and 6.8 billion born-digital records. The catalog also contains links to more than 400,000 digital objects of some of our most popular and interesting holdings. The available online historical documents include many of the holdings highlighted in NARA's permanent Public Vaults exhibit.

Our online catalog contains more than 5 million descriptions. But with 65 years worth of existing descriptive information to place into the catalog, we have a multi-year challenge ahead. We are limited in the scalability of the online catalog, which consequently limits our ability to add metadata and digital objects to the catalog. With the number of descriptions already in the catalog, we anticipate that we can

add between 3.6 and 5.6 million additional descriptions. Our digitization partners have already created sufficient metadata to meet this capacity limitation. In FY 2010, we awarded a contract for a new description tool that would allow us to add all of the metadata and images created by the partners to NARA's catalog. We are developing the next generation descriptive service that will allow us to add millions of descriptions and digital objects from the partnership projects. This tool, providing description and authority services, will replace the existing online catalog data entry system in FY 2012. The services will interface with HMS to create preliminary descriptions and will integrate with OPA to make new and updated descriptions and authorities available for searching in OPA in FY 2013.

We are continuing a major effort to put the data from existing finding aids into the online catalog. This project includes folder and item lists, and a wide variety of indexes. This effort has already yielded millions of additional detailed descriptions in the catalog making it a valuable tool for researchers. In FY 2011, the public online version of our catalog was replaced with the Online Public Access (OPA) prototype, part of the Electronic Records Archives. The new public access system allows researchers to search multiple National Archives resources, i.e. the current online catalog; selected series from NARA's Access to Archival Databases (AAD); and our web site, *archives.gov*, simultaneously, eliminating the need to access each resource separately. With more than one million queries performed in OPA since launch, we have a tremendous demand for accessing our holdings through this tool.

### **Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for traditional holdings in an online catalog.</i>	60	65	70	75	80	
Percent of traditional holdings in an online catalog.	64	69	70	71		
Number of traditional holdings described in an online catalog (millions of cubic feet).	2.4	2.7	2.8	3.0		
Number of traditional holdings in NARA (millions of cubic feet).	3.7	3.9	4.0	4.2		
<i>Performance target for artifact holdings in an online catalog.</i>	60	65	70	75	80	
Percent of artifact holdings in an online catalog.	61	74	78	78		
Number of artifact holdings described in an online catalog (thousands of items).	353	465	466	466		
Number of artifact holdings in NARA (thousands of items).	582	628	600	600		
<i>Performance target for electronic holdings in an online catalog.</i>	60	65	70	75	80	
Percent of electronic holdings in an online catalog.	98	95	96	96		
Number of electronic holdings described in an online catalog (billions of logical data records).	5.4	6.4	6.7	6.9		
Number of electronic holdings in NARA (billions of logical data records).	5.5	6.7	6.9	7.2		
Number of OPA visits (in thousands of visits).	—	—	—	1,700		

### ***Milestones***

- FY 2008**
  - Redesigned ARC web system launched.
- FY 2010**
  - Work required to subsume ARC web into ERA conducted.
  - Online Public Access system prototype deployed to staff.
- FY 2011**
  - Prototype Online Public Access user interface released to public.
- FY 2012 Estimated**
  - New description tool available to staff.



**FY 2013 Projected**

- Expanded capabilities in OPA to enhance sharing of and engagement with catalog data.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Visits: An online "visit" is analogous to a physical visit to one of our facilities. If someone is continuously active on our site, we count all his retrievals as one visit. If he is inactive for more than 30 minutes, we assume that he has left the building, as it were. If he later requests another page—whether the same day or another day—we count that as a new visit. We exclude visits by “bots,” which are not real people but merely agents harvesting data about web sites on behalf of search engines. Use: A query through the AAD or ARC search engine, or a retrieval of the start page, excluding retrievals by “bots.” Traditional holdings: books, papers, maps, photographs, motion pictures, sound and video recordings and other documentary material that is not stored on electronic media. Artifact holdings: objects whose archival value lies in the things themselves rather than in any information recorded upon them. Electronic holdings: records on electronic storage media.

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**Long Range Performance Target 4.4 By 2012, our web sites score at or above the benchmark for excellence as defined for Federal Government web sites.**

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**FY 12 Estimated Performance**

- Improve NARA’s score against the benchmark for excellence by 3 percent.
- Develop a project and plan to host Archives.gov.

**Outcome** More people, nationwide and worldwide, have easy access to NARA services.

**Significance** For citizens and the Government to take full advantage of the resources we have to offer, we must make those services available as widely as possible. With the advent of the Internet and other electronic forms of communication, we have the means to offer services remotely. Visiting or writing one of our facilities is no longer the only way for people to get ready access to essential evidence. By broadening the availability of our services, we ensure that citizens everywhere have access to their National Archives.

**Means and Strategies** The National Archives reaches millions of people each year through its web presence, consisting of archives.gov, Presidential Library web sites, and web sites supporting unique initiatives, such as *OurDocuments.gov*. We have established a presence on social media platforms such as *Facebook*, *Flickr*, *Twitter*, and *NARAtions* and *AOTUS* blogs, where we are able to reach customers, stakeholders and the public to encourage collaboration, participation and create a transparent environment. The Presidential Libraries system has a dynamic social media network that shares content from our holdings and hosts open dialogue with the public. The network includes blogs, *Facebook*, *Flickr*, *Foursquare*, *Tumble*, *Twitter*, and *YouTube*—allowing the Presidential Libraries to be responsive and relevant to public interest in our resources throughout online and mobile venues.

These sites are the most widely available means of electronic access to our services and information, including directions on how to contact us and do research at our facilities located nationwide; descriptions of our holdings; direct access to certain archival electronic records; digital copies of selected archival materials; electronic mailboxes for customer questions, comments, and complaints; electronic versions of *Federal Register* publications; online exhibits; and classroom resources for students and teachers.

Our web sites assist the public in navigating our services from their homes and offices; visiting virtually the National Archives, Presidential Libraries, Regional Archives, and the Charters of Freedom (the Declaration of Independence, Constitution, and Bill of Rights); and using existing resources available in our facilities nationwide. The sites also provide information about the varied and numerous public

programs offered at all of NARA's locations, including those in the Regional Archives and the Presidential Libraries, as well as components of the National Archives Experience in Washington, DC, such as the William G. McGowan Theater and the Public Vaults permanent exhibit.

We continue to collect public feedback about application interfaces, such as our Archival Research Catalog (ARC) and Access to Archival Databases (AAD) systems. The American Customer Satisfaction Index (ACSI) helps us to measure satisfaction by customer group (Genealogists, Veterans, Educators, etc.) which enables us to design strategies to develop, modify, enhance or remove online web content in response to customer feedback about our web sites.

Embracing the three principles of Open government— *transparency, participation, and collaboration* — we redesigned the *archives.gov* website, providing multiple opportunities for input from both NARA staff and the public. Using social media and Web 2.0 technologies (e.g. existing NARA blogs, *Twitter*, *Facebook* and *Ideascale*), we were able to publicize, invite participation, and obtain feedback on various design prototypes of the site. We launched the redesigned website in FY 2011, and subsequently, the redesigned *archives.gov* was selected as a winner in the 2011 ClearMark Awards in the Website/Dynamic Media: Public Sector category. More work remains to complete the second phase of the redesign to streamline and reorganize content areas to reflect NARA's FY 2011 organization transformation, however, we will continue to monitor and evaluate the satisfaction of our web visitors with *archives.gov*.

In FY 2011, we chose Drupal, an open source content management system (CMS) to implement our intranet, *NARA@work*. We will follow with implementation of *archives.gov* in the new content management system in FY 2012. This tool allows us to improve workflow as well as free up our resources to implement social media sites and other web-based applications. In addition, the tool also eliminates the need for web content authors to learn HTML, a software publishing language used to develop webpages. In FY 2012, we will focus on redesigning *NARA@work* to reflect the agency transformation results and to make the site more task focused for staff and contractors. In FY 2013, we will implement our all-staff engagement plan for social media.

The Presidential Libraries consistently outperform the overall ACSI e-Government satisfaction score and other benchmarks. We plan to continue to respond to customer expectations by following this successful model and building upon the success of the collective Presidential Library web sites and social media communication.

### **Verification and Validation**

<b><i>Performance Data</i></b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Online visits to NARA's web sites (in thousands).	37,807	37,470	39,036			
<i>Performance target in percent improvement in web sites score at or above the benchmark for excellence as defined for Federal Government web sites.</i>	<i>Establish baseline</i>	1	3	3	3	3
Percentage point improvement in web sites score.	—	3	5	-2		
Web sites score at or above the benchmark for excellence as defined for Federal Government web sites.	66	69	74	72		
Presidential Libraries score at or above the benchmark for excellence as defined for Federal Government web sites.	75	78	80	—		

### ***Milestones***

- FY 2008**
- NARA's baseline score against the benchmark for excellence as defined for Federal

- Government web sites established.
  - Inventory of all web-based access capabilities currently provided to our online customers to identify gaps and overlaps completed.
- FY 2009**
- Projects on different social media web sites (e.g. You Tube, Flickr, Twitter, Facebook, etc.) piloted.
  - Comprehensive and strategic concept of operations for web-based access to our online assets developed.
- FY 2010**
- *Archives.gov* home page redesigned.
  - Additional projects on selected social media web sites implemented.
  - Online Public Access piloted to staff.
- FY 2011 Estimated**
- Content management system to implement our intranet implemented.
  - Established social media program in place.
  - Federated search for online public access system expanded.
  - Online Public Access available to the public.
  - *Archives.gov* redesigned.
- FY 2012 Estimated**
- Redesign of *NARA@work* to reflect transformed agency structure implemented.
  - Content management system for *archives.gov* implemented.
- FY 2013 Projected**
- Social media plan for all staff engagement implemented.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**STRATEGIC GOAL 5 WE WILL INCREASE ACCESS TO OUR RECORDS IN WAYS THAT FURTHER CIVIC LITERACY IN AMERICA THROUGH OUR MUSEUM, PUBLIC OUTREACH, EDUCATION PROGRAMS, AND GRANT PROGRAMS**

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- Long Range Performance Targets**
- 5.1 By 2016, 90 percent of NARA’s visitors are satisfied with their visit experience.
  - 5.2 By 2016, a minimum of 85 percent of all NHPRC-assisted projects produce the results required, employing rigorous standards and milestones approved by the Commission.

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**Long Range Performance Target 5.1 By 2016, 90 percent of NARA’s visitors are satisfied with their visit experience.**

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- FY 12 Estimated Performance**
- 87 percent of NARA education program visitors are satisfied with their visit.
  - 87 percent of NARA exhibit visitors are satisfied with their visit experience.
  - 87 percent of public outreach visitors are highly satisfied with their visit experience.
  - Implement prioritized recommendations from FY 2011 AASLH study results.
  - Implement prioritized recommendations from 2011 longitudinal study of the Public Vaults.

- FY 13 Projected Performance**
- 88 percent of NARA education program visitors are satisfied with their visit.
  - 88 percent of NARA exhibit visitors are satisfied with their visit experience.
  - 88 percent of public outreach visitors are highly satisfied with their visit experience.
  - Implement prioritized recommendations from FY 2011 AASLH study results.
  - Implement prioritized recommendations from 2011 longitudinal study of the Public Vaults.

**Outcome** Our public outreach efforts effectively increase access to and knowledge of government in ways that further civic literacy.

**Significance** In the promotion of civic literacy, the National Archives has always played a unique and important role. As the keeper of the records for the Government, we have literally safeguarded the documentary record of American history. This record belongs to the American people. From the Charters of Freedom, to the census records that enumerate our country's population, to the records of Congress and Presidential Administrations, our holdings are so vast and diverse that the value and amount of information available is not always readily apparent to the public. Furthermore, we manage the *Federal Register* system, an important civic process. Therefore, we continually educate the public about the treasure trove of information and services we offer to enable access to our holdings and encourage civic participation. Museum programs are an inspiring way for people to understand their own personal connection to the records in the National Archives. Our efforts are intended to help families see how their own stories fit into our national mosaic, and to thrill young people with the real-life drama of the American experience.

**Means and Strategies** The National Archives Experience, which includes the Public Vaults, the McGowan Theater, and O'Brien Traveling Exhibits Gallery, continues to grow in scope and impact. The Public Vaults has helped us make a connection between the average visitor and Federal records, illustrating how such records illuminate our understanding of the events that shaped our nation, our communities and our families. We expanded offerings in the McGowan Theater, including conferences, symposia, film series, and notable free public programs with speakers who have participated in and/or analyzed the events documented in our records. The O'Brien Gallery has featured topical exhibits intended to engage visitors in the stories that define our common heritage, from eyewitness reports of the great events of our times to the school boy experiences of the youngsters who grew up to be President. The online Digital Vaults exhibit has captured the spirit of our Public Vaults and made inquiry-based learning about NARA records available to millions of people around the globe.

Our Boeing Learning Center provides resources to teachers and parents, allowing them to more effectively use our records to achieve national standards for history and civics. One million visitors a year annually visit the National Archives Experience, with another 1.8 million visitors to NARA's Presidential Libraries and Museums, providing the National Archives with an exceptional opportunity to promote lifelong civic learning among people of different ages and backgrounds who come from all parts of the country.

At National Archives regional locations in 13 metropolitan areas, we offer additional opportunities to encourage civic awareness and learning. Through expert, personal assistance with genealogy research, visitors learn how they can use records to explore family history and often discover the connection to our national story. We offer exhibits at two of our regional locations—Atlanta and Kansas City—that, for example, expose visitors to records that highlight civil and human rights struggles, and records that showcase legislation that initiated profound changes in the history of our country.

NARA's archival centers located throughout the country provide educational programs that present our national story in local settings. We continue to partner with agencies and organizations external to NARA to deliver programs and teach educators how to use Federal records as primary sources, as was done with *DocsTeach*, an online tool for teaching with documents. Our public programs and archival services raise awareness of NARA's availability and services to the public.

Presidential Libraries and Museums play a vital role in promoting an understanding not only of the Presidency, but also American history and democracy. From Hoover through Clinton, the museums offer thought-provoking and entertaining permanent exhibits that combine documents and artifacts, photographs and film to immerse visitors in the sights and sounds of the past. Each year, Presidential Libraries also host temporary exhibits that supplement and elaborate on themes presented in the

permanent exhibitions. These temporary exhibits have examined topics central to civic literacy in America: leadership, citizenship, and the American experience.

Conferences, symposia, and public forums sponsored by the Libraries are another means of educating and informing the public about our shared democratic values. Conferences supported in partnership by all Presidential Libraries allow the public to learn about pivotal historical events from those who experienced the events first-hand. Presidential Libraries have explored ways to develop programs that can be utilized by a variety of audiences. The addition of the Reagan Library's Discovery Center in 2008 contributed to the growing host of Presidential Libraries' experiential learning programs. These programs, designed to allow participants to develop decision-making skills and gain a newfound understanding of government roles, are used by students and teacher groups, as well as government and corporate staffs for training. At the Federal Register, we teach a monthly class on the Federal regulatory process and the role of the *Federal Register*.

Every other year since 2009, we have used the American Association of State and Local History (AASLH) survey to gain insight of the degree to which our exhibits and programs have had a meaningful impact on visitors and participants. In FY 2010, we used information gained in the 2009 American Association of State and Local History (AASLH) survey to implement logistical and content improvements within and outside the Rotunda. Subsequent findings revealed that our customers feel more welcomed, are pleased with shorter wait times to enter the Rotunda, and have better perceptions of staff and volunteers. In FY 2012 and FY 2013, we will use information from the FY 2011 study in the planning and implementation of Phase 2 of the National Archives Experience, a major public-private capital partnership now underway. We hope to administer the AASLH study again in FY 2013 with an eye to developing a baseline for Phase 2.

Data from the FY 2011 AASLH survey is also being analyzed in conjunction with the FY 2011 longitudinal study of the Public Vaults. Initial review suggests that while overall performance remains strong, there are areas of improvement to be explored—especially in visitor communications. This will be a focus of our work in 2012.

The longitudinal survey of the Public Vaults in the spring of FY 2011 compared the feedback with the previous study completed five years earlier. We will implement recommendations derived from the study in FY 2012.

The Presidential Libraries have conducted a review of their museum programs, and are using the customer feedback gathered to improve museum offerings and services. The final results from the review have helped us understand the current state of our programs and have provided recommendations on the future direction of our museums. Although the feedback from the survey was overwhelmingly positive with a 97 percent satisfaction rate, we learned about specific areas where improvements could enhance customer experience. We received recommendations to increase the quantity and quality of interactive and electronic exhibits, and the selection of items in our gift shops. With this in mind, current and future museum renovation plans include a variety of new interactive components, while we also examine ways to grow and improve the current stock of store merchandise. As current funding levels allow, the Presidential Libraries are also working to make changes to visitor services operations to help improve the overall visitor experience.

Throughout the National Archives system, we deliver a wide variety of experiences for visitors. These experiences are realized through physical visits, online and offline publications, video conferences, webcasts, and other methods. As technology expands to include new delivery mechanisms, such as Web 2.0 technologies, we will look for new opportunities for delivering our programs and communicating and

interacting with visitors. Through NARA blogs such as *AOTUS*, *NARAtions*, and *The Hoover Blackboard*, we provide a variety of unique content to share information with the public. Working with councils of the National Council of History Educators and with Teaching American History grant recipients, we will continue to conduct outreach to teachers, school librarians, and home schooling parents to provide free materials and content-based development training. We will continue to assess the needs of our visitors and evaluate methods to improve our customer interactions.

**Key external factors** Our success depends on the support of the private foundations that are fundamental to our exhibit programs. To better understand our customers’ interests, we will need to expand our customer survey program.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Number of visitors to NARA museums and exhibits (in millions)	3.0	2.8	2.8	2.5		
<i>Performance target for percent of visitors satisfied with their visit experience.</i>	—	—	85	86	87	88
Percent of visitors satisfied with their visit experience.	—	—	97	98		
Number of rated education programs, workshops, and training courses.	632	628	625	492		
Number of attendees at rated education programs, workshops, and training courses.	11,362	11,688	14,327	9,521		

***Milestones***

- FY 2008**
  - Draft profile of NARA’s Presidential Libraries developed.
  - Comparative data for the National Archives Experience in Washington using the AASLH survey instrument collected.
- FY 2009**
  - NARA’s 75<sup>th</sup> anniversary celebrated.
  - Report on alternative models for Presidential Libraries issued.
  - Data from the AASLH study analyzed.
- FY 2010**
  - Comparative data for the National Archives Experience in Washington using the AASLH survey instrument collected.
  - Longitudinal study of visitor response to Public Vaults and National Archives Experience implemented and evaluated.
  - Expand use of social media to increase collaboration, participation, and the growth of online communities.
  - Industry measures based on peer review of Presidential Libraries identified.
  - Measures for meeting industry standards by 2016 established.
- FY 2011**
  - Recommendations from FY 2010 AASLH study results prioritized.
  - Recommendations from longitudinal study of the Public Vaults prioritized.
  - Number of online exhibits on Presidential Libraries partnership web site increased.
- FY 2012 Estimated**
  - Prioritized results from AASLH survey implemented.
  - Prioritized results from longitudinal study of the Public Vaults implemented.
  - Fast track OMB approval for information collections implemented.
- FY 2013 Projected**
  - AASLH study administered.
  - Phase 2 of National Archives Experience Orientation Plaza complete.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**Long Range Performance Target 5.2 By 2016, a minimum of 85 percent of all NHPRC-assisted projects produce the results required, employing rigorous standards and milestones approved by the Commission.**

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**FY 12 Estimated Performance** • 85 percent of all NHPRC-assisted grants produce the results expected.

**FY 13 Projected Performance** • 85 percent of all NHPRC-assisted grants produce the results expected.

**Outcome** Our visitors understand their personal connection to the records of their history.

**Significance** Projects supported by the National Historical Publications Records Commission produce the desired outcomes of the awards through careful development and monitoring of their goals and objectives. Ultimately, these projects support the publication, preservation, and availability of the nation's vast network of archival materials, thereby facilitating citizen access to our shared documentary heritage.

**Means and Strategies** The NHPRC, established by Congress in 1934, supports a host of activities to collect, preserve, publish, and promote the use of documentary sources relating to the history of the United States. The NHPRC oversees a highly competitive federal awards program and provides assistance to prospective grantees to cultivate high quality proposals. Projects supported by the NHPRC include digitizing and/or publishing historical records of national significance, tackling electronic records preservation and access issues, making hidden archival collections known and readily available, and preparing professionals in the archival and historical publishing communities for the challenges associated with these enterprises. We employ a rigorous review process to determine which projects receive funds. The NHPRC works with the grantees of more than 100 projects to develop performance measures that gauge grantee progress. Grantees provide status reports throughout their projects, and a final report detailing the outcome of each performance objective upon completion. The NHPRC develops appropriate measures to monitor success and works with grant projects already underway to ensure progress is made toward their respective goals. On the recommendation of the NARA Inspector General, we enhanced our assessment measures of the financial management performance of grantees and we now consider this element in appraising project success. This new measure means that we expect our percentage of successful grants to remain steady or to slightly decline in FY 2013 as grantees adjust to this new evaluation factor.

In FY 2009, we initiated our Founding Fathers Online pilot project, *Transcribing and Encoding the Founders Papers for Online Access*. This activity began in response to a Congressional committee report addressing concerns that the papers of America's Founding Fathers were not freely available online. In FY 2011, we planned to have completed a beta test site of the "Founders Online" web resource through a cooperative agreement with the University of Virginia Press. Challenges resulting from unexpected issues with the content and difficulty in website design delayed the availability of the prototype to February 2012 with final release of version one of the Founders Online website later in FY 2012. We anticipate that version one will include all the published papers of John Adams, Alexander Hamilton, Thomas Jefferson, James Madison, and George Washington. In FY 2013, the Founders Online web site will provide free public access to the published volumes of Benjamin Franklin and volumes published since 2012 of the papers of John Adams, George Washington, and Thomas Jefferson. In addition, the functionality of the site will be enhanced after a year of extensive user testing.

In FY 2011, we explored methods for making publicly available the preliminary transcriptions of the



historical documents of the Founders that have not yet been formally published. An analysis of the five Founders’ editorial projects has revealed a diversity of approaches to managing these transcriptions, and early public access to these documents may require several approaches. Still, we anticipate being able to add a minimum of 10,000 preliminary transcriptions in FY 2012 to the Founders Online web site. In FY 2013, we expect to add 20,000 preliminary transcriptions.

**Key external factors** The NHPRC rigorously evaluates grant applications on the basis of the relevance of projects to NHPRC’s strategic objectives and the ability of applicants to produce promised results.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for the percentage of closed grants achieving desired results.</i>	—	82	82	85	85	85
The percentage of closed grants achieving desired results.	81	82	92	87		

***Milestones***

**FY 2010**

- Online access to 5,000 unpublished transcriptions of the papers of James Madison and John Adams available.
- Report on status of remaining work on the Founding Fathers papers issued.
- Cooperative agreement for providing free online access to the published papers of the Founders — Adams, Franklin, Hamilton, Jefferson, Madison, and Washington — issued.

**FY 2011**

- Design of web site providing selected users with online access to published volumes of John Adams, Thomas Jefferson, James Madison, and George Washington completed.
- Cooperative agreement(s) to convert remaining unpublished transcriptions of Founders papers to a verified, encoded state issued.

**FY 2012 Estimated**

- Founders Online web site providing free public access to published volumes of the papers of John Adams, Alexander Hamilton, Thomas Jefferson, James Madison, and George Washington available in June 2012.
- Online access to 10,000 additional unpublished transcriptions of the papers of John Adams, Thomas Jefferson, James Madison, and George Washington.

**FY 2013 Projected**

- Online access to 20,000 additional unpublished transcriptions of the papers of John Adams, Thomas Jefferson, James Madison, and George Washington.
- Free public access to published volumes of Benjamin Franklin and volumes published since 2012 of the papers of John Adams, George Washington, and Thomas Jefferson provided through Founders Online web site.
- Functionality of Founders Online web site improved and user options enhanced.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**STRATEGIC GOAL 6 WE WILL EQUIP NARA TO MEET THE CHANGING NEEDS OF OUR CUSTOMERS.**

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- Long Range Performance Targets**
- 6.1 By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.
  - 6.2 By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF).
  - 6.3 By 2016, 60 percent of NARA's positions are filled within 80 days.
  - 6.4 By 2016, NARA's telework rate is 100 percent of the last available reported Federal Government average rate.
  - 6.5 By 2016, public network applications are available 99 percent of the time.

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**Long Range Performance Target 6.1 By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.**

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- FY 12 Estimated Performance**
- Establish competency models for 85 percent of NARA's positions.
- FY 13 Projected Performance**
- Establish competency models for 95 percent of NARA's positions.
  - Assess competencies for 25 percent of NARA's positions.

**Outcome** The NARA workforce has the skills necessary to deliver the services our customers require.

**Significance** To ensure we can achieve our mission and strategic goals we must ensure that staff have the skills and competencies they need to optimize individual and organizational performance.

**Means and Strategies** Having the internal staff capabilities to carry out the strategies in our Strategic Plan is vital to the success of the plan and the achievement of our mission. To ensure that staff have the right competencies at a sufficient level to perform their work, we are systematically examining NARA's occupations agency-wide to identify competency requirements at all levels and using this as the groundwork to improve many human capital functions. Once these competency models are identified, we will use them as the basis for such functions as recruitment, selection, performance management, succession planning, training and development of NARA staff. Specifically, we use the results of our competency modeling work to:

- Identify competencies needed upon entry into positions and develop assessments to evaluate applicants based on these competency requirements.
- Develop competency-based performance standards that clearly articulate performance expectations and hold staff accountable for achieving results.

- Assess the competencies of existing staff, identify skill gaps, and develop both short- and long-term strategies to close those gaps.
- Design training opportunities that will provide staff with the competencies needed to perform their jobs.
- Identify current and future workforce competency need and plan accordingly. Identify and communicate to staff paths for career progression and advancement throughout NARA and the Federal government.

Competency models describe the set of skills, knowledge, and abilities necessary for successful performance in a given job. As competency models were developed, we also developed competency based assessments, such as occupational questionnaires and interview guides resulting in faster turnaround of postings and an overall decrease in time-to-hire. Initially focused on developing competency models for our mission critical occupations—Archivists in the GS-1420 series and Archives Specialists and Technicians in the GS-1421 series—we expanded our competency development work to other critical occupations in FY 2011. To reach our target and identify competency models for all NARA occupations, we developed a comprehensive rollout plan prioritizing competency modeling work throughout FY 2012 and FY 2013. In FY 2011, we also created a draft leadership competency model applicable to all NARA leadership positions that will be finalized in FY 2012.

For FY 2012, we will complete competency gap assessments for all managers and human resource specialists using OPM’s tool. In addition, we will explore options for acquiring and developing a competency assessment tool. In FY 2013, we plan to finish competency modeling efforts. Information will be integrated into such tools as the eIDP and a career path tool to assist staff with identifying career paths and what is needed to pursue career aspirations. In addition, we will begin to complete competency assessments for each staff member, review results, and identify/develop training to start closing gaps.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<i>Performance target for percent of NARA positions with competency models</i>	—	—	—	60	85	95
Percent of NARA positions with competency models.	—	—	—	61		
Percent of permanent staff having staff development plans that link to strategic outcomes.	88	67	71	75		
Number of permanent staff having staff development plans that link to strategic outcomes.	2,223	1,748	1,920	2,075		
Number of permanent staff.	2,573	2,667	2,793	2,827		
Percent of staff having performance plans that link to strategic outcomes.	98	96	97	91		
Number of staff having performance plans that link to strategic outcomes.	2,510	2,570	2,734	2,604		

***Milestones***

**FY 2008**

- NARA Mission Critical Occupations (MCOs) formally identified.
- Contract support for competency development initiative obtained.
- Competency development pilot project with NARA’s Modern Records Program completed.
- Pilot for a management development program implemented.

**FY 2009**

- Competency development work expanded to cover all positions in ISOO, our Modern Records Program office, and the Federal Records Center Director in our Office of Regional Records Services.
- NARA’s Strategic Human Capital Plan developed.

- FY 2010**
- Competency models for Office of Regional Records Services and Office of Information Services developed (excluding clerical positions).
  - Competency development work for Access Programs office and at least one additional area completed.
  - Structured interview question bank developed.
  - Physical ability test and writing sample assessment developed.
- FY 2011**
- Competency modeling for MCOs in remaining program offices expanded.
  - Competency modeling for Federal Records Centers developed.
  - Competency work for Education/Museum/Outreach positions developed.
  - Competency work for Presidential Libraries developed.
- FY 2012 Estimated**
- Leadership competency model finalized to cover all NARA leadership positions.
  - Competency work for remaining positions developed.
  - Competency assessment tool developed/purchased.
  - Assessment of competency gaps for managers and HR conducted.
- FY 2013 Projected**
- Assessment of competency gaps conducted.
  - Training to close gaps developed and administered.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Targets for maintaining staff performance plans and development plans linked to strategic outcomes take into account personnel changes that routinely occur, during which personnel may not have updated plans that relate to their new duties. Because of continuous personnel changes, there will always be less than 100 percent linkage.

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**Long Range Performance Target 6.2 By 2016, the percentages of NARA employees in underrepresented groups match that of the Civilian Labor Force.**

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- FY 12 Estimated Performance**
- Increase the percentage of employees in underrepresented groups relative to their representation in the CLF.
  - Achieve 65 percent positive response rate in Annual Employee Survey (AES) questions referencing workforce diversity.
- FY 13 Projected Performance**
- Increase the percentage of employees in underrepresented groups relative to their representation in the CLF.
  - Maintain 65 percent positive response rate in Annual Employee Survey (AES) questions referencing workforce diversity.

**Outcome** NARA customer service to all segments of American society improves because the workforce mirrors the society we serve.

**Significance** A diverse workforce enhances our agency by ensuring that we can draw on the widest possible variety of viewpoints and experiences to improve the planning and actions we undertake to achieve our mission and goals. By promoting and valuing workforce diversity, we create a work setting where these varied experiences contribute to a more efficient and dynamic organization and employees can develop to their full potential.

**Means and Strategies** We must focus on improving our performance in hiring and promoting people in underrepresented groups by continuing our efforts to expand recruiting techniques, collecting and analyzing pertinent personnel management data, and implementing staff development programs.

Our efforts in this area are guided by our annual Federal Equal Opportunity Recruitment Program (FEORP) Plan. Our FEORP Plan contains four multi-year strategic goals that together form the foundation of our recruitment strategy for women and minorities. These goals are:

- Ensure that FEORP goals are aligned with NARA's Strategic Plan and Strategic Human Capital Plan and integrated with workforce planning efforts;
- Expand the pipeline of women and minorities available for employment with NARA;
- Maintain a diverse high-performing workforce by effectively recruiting and retaining top talent; and
- Enhance staff development opportunities that prepare staff for upper level positions.

Each year, NARA identifies specific strategies that we will undertake to support our multi-year FEORP goals. Our strategies focus on expanding partnerships with minority-serving universities, education associations, and professional organizations; attending and networking at minority conferences and job fairs; encouraging the use of developmental assignments that provide on-the-job training opportunities for women and minorities; and ensuring that our FEORP goals and strategies are fully aligned with NARA's Strategic Human Capital Plan and, by extension, NARA's Strategic Plan. Progress against our FEORP goals and strategies is assessed each year as part of our human capital accountability efforts and the U.S. Office of Personnel Management's annual FEORP reporting requirement. In addition, our FEORP plan is revised each year to reflect our latest workforce demographics; specific strategies are updated as necessary to address any under-representation at NARA.

Although Hispanic, American Indian, Asian, and Hawaiian employment rates have increased at NARA since 2009, underrepresentation of Hispanics remains a particular challenge. Hispanics currently constitute 1.59 percent of NARA's workforce, far below their availability in the civilian labor force. To enhance representation of all underrepresented groups, we continue attending minority career events and hosting interns through our Summer Diversity Internship Program, placing a particular emphasis on groups and organizations that support the Hispanic community. During FY 2011, we garnered additional input for improving diversity by establishing a "Diversity Champions" initiative. Comprised of staff from across the agency, we are using these Diversity Champions to help identify and attend local diversity recruitment and outreach events, and to make recommendations for improving NARA's diversity and outreach efforts. In addition, we continue to focus our efforts on improving our performance in hiring and promoting people in underrepresented groups by expanding recruiting techniques, collecting and analyzing personnel management data, and implementing staff development programs.

In response to Executive Order 13548 signed July 26, 2010, NARA developed a Strategic Plan for the Recruitment, Hiring, and Retention of Individuals with Disabilities. In FY 2011, NARA appointed the Chief Human Capital Officer as the senior-level agency official responsible for overseeing the execution of this plan. Activities accomplished in FY 2011 include development of the Disability Resource Center—an intranet site that provides information and resources to employees and managers to support employment of persons with disabilities; and development of a survey to managers to identify barriers and obstacles to the recruitment, hiring, and retention of persons with disabilities within the Agency. Efforts are planned for the celebration of National Disability Employment Awareness Month with a kickoff Disability Resource Networking event, and a workshop planned for all employees on topics related to awareness of employment of persons with disabilities. Training is planned for hiring managers and supervisors on "Hiring Persons with Disabilities," emphasis on student hiring and student internship programs (including partnership with DOI's Workforce Recruitment Program), launch of a disability employment survey to managers and supervisors, and continued research on barriers to employment by

conducting focus groups. Also, in FY 2013, we plan to streamline the process for hiring managers as it relates to applicants with disabilities applying for jobs under the Schedule A authority. We will continue to provide information for NARA managers through NARA’s Disability Resource Center and provide online training on the reasonable accommodation process.

In an effort to instill greater accountability for diversity goals among NARA managers and supervisors, NARA developed and implemented two new critical elements for inclusion in all managerial and supervisory performance plans during FY 2011. While the first critical element addresses supervisory responsibilities for fostering employee engagement, managing human capital and the administrative aspects of the work unit, the second critical element addresses supervisors’ responsibilities for promoting equal employment opportunity, diversity and inclusion in the workplace. All managers and supervisors received mandatory training on these new critical elements, and we began using them in FY 2012 to formally hold managers and supervisors accountable for their performance in helping to promote and enhance diversity within NARA.

Also in FY 2012, NARA will begin efforts to develop a diversity strategic plan. The need for such a plan was identified by NARA from the results of the government-wide Employee Viewpoint Survey (EVS), and from follow-on action planning work undertaken by NARA staff and managers. Our EVS results indicated a need to improve our efforts in employee engagement and take a broad approach to improve diversity.

**Key external factors** Success here depends on qualified people in underrepresented groups applying for positions at NARA in response to our recruitment efforts.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Number of applicants.	5,559	6,362	6,803	9,143		
Number of applicants in underrepresented groups.	2,515	2,811	852	104		
Percent of applicants in underrepresented groups.	45	44	13	1		
Number of qualified applicants.	3,099	3,735	4,027	6,866		
Percent of qualified applicants in underrepresented groups.	52	48	15	1		
Number of best qualified applicants.	1,533	1,643	1,488	1,496		
Percent of best qualified applicants in underrepresented groups.	52	48	21	4		
Number of new hires.	334	309	199	121		
Percent of new hires in underrepresented groups.	49	57	37	25		
Summary of underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)						
—Women	✓	✓	✓	✓		
—Black				✓		
—Latino-Hispanic				✓		
—Asian American/Pacific Islander				✓		
—American Indian/Alaskan Native				✓		
—Targeted disability	✓	✓	✓			
<i>Performance target for percentage of women relative to the CLF.</i>	—	—	89	91	93	95
Employment percentage of women relative to the CLF.	88	87	87	87		
<i>Performance target for percentage of black employees relative to the CLF.</i>	—	—	—	—	—	—
Employment percentage of black employees relative	289	279	273	265		

<b>Performance Data</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
to the CLF.						
<i>Performance target for percentage of Latino-Hispanic employees relative to the CLF.</i>	—	—	—	18	20	22
Employment percentage of Latino-Hispanic employees relative to the CLF.	17	16	17	19		
<i>Performance target for percentage of Asian American employees relative to the CLF.</i>	—	—	—	74	78	80
Employment percentage of Asian American employees relative to the CLF.	61	59	64	70		
<i>Performance target for percentage of Pacific Islander employees relative to the CLF</i>	—	—	—	—	68	70
Employment percentage of Pacific Islander employees relative to the CLF.	0	0	65	128		
<i>Performance target for percentage of American Indian/Alaskan Native employees relative to the CLF.</i>	—	—	—	—	89	91
Employment percentage of American Indian/Alaskan Native employees relative to the CLF.	62	80	93	110		
Percentage of NARA employees with a targeted disability.	1.6	1.7	1.7	1.5		

**Data source** Performance Measurement and Reporting System and semi-annual reports to the Archivist.

**Definitions** Applicant: Any U.S. citizen who submits a complete application in accordance with the instructions outlined in the job announcement; Underrepresented groups: groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black, Latino-Hispanic, Asian, Native Hawaiian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

**Milestones**

**FY 2010**

- Annual Federal Equal Opportunity Recruitment Program (FEORP) and Federal Hispanic Employment Program plans finalized.
- NARA’s Summer Diversity Internship Program conducted.

**FY 2011**

- Annual Federal Equal Opportunity Recruitment Program (FEORP) and Federal Hispanic Employment Program plans finalized.
- NARA’s Summer Diversity Internship Program conducted.
- Awareness of NARA internship and employment opportunities increased, especially at events applicable to women and minorities.
- Diversity Champions outreach group established.
- New Supervisory Critical Elements implemented.
- Strategic Plan for the Recruitment, Hiring, and Retention of Individuals with Disabilities developed.

**FY 2012 Estimated**

- Annual Federal Equal Opportunity Recruitment Program (FEORP) and Federal Hispanic Employment Program plans finalized.
- NARA’s Summer Diversity Internship Program conducted.
- Awareness of NARA internship and employment opportunities increased, especially at events applicable to women, minorities and individuals with disabilities.
- Implement employee engagement efforts through affinity programs and/or focus groups to assess effectiveness of NARA internal programs, identify deficiencies, and develop strategy for improvements.
- Diversity Strategic Plan established.
- Disability resource provider event co-sponsored with HHS.
- Barriers identified for recruitment and retention for individuals with disabilities.
- Data collection methodology identified for new supervisory critical elements.
- On-going training resource identified for new supervisory critical elements.

- FY 2013 Projected**
- Continue employee engagement in identification of organizational challenges and remediate improvement measures already identified.
  - Diversity Strategic Plan implemented.
  - Assessment of new supervisory critical elements conducted. Strategic Plan for the Recruitment, Hiring, and Retention of Individuals with Disabilities implementation continued.

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**Long Range Performance Target 6.3 By 2016, 60 percent of NARA’s positions are filled within 80 days.**

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- FY 12 Estimated Performance**
- 25 percent of NARA’s positions are filled within 80 days.
  - Migrate to the Federal Personnel and Payroll System (FPPS).

- FY 13 Projected Performance**
- 40 percent of NARA’s positions are filled within 80 days.

**Outcome** NARA workforce is properly staffed to accomplish agency mission.

**Significance** An effective hiring process enhances NARA’s ability to reach the best talent in a competitive market in a timely manner. Proper workforce planning will decrease the lag time experienced when agency program offices need to commence, resume, or properly staff work vital to accomplish the agency’s strategic mission and goals. Instituting hiring processes that simplify, facilitate, and support both manager and job applicant reduces the risk of losing potential NARA job seekers to positions external to the agency.

**Means and Strategies** In FY 2009, we developed NARA’s Strategic Human Capital Plan, an instrument we use to document our goals and objectives for addressing the human capital challenges and opportunities we face. This plan defines how we will strategically manage our workforce both now and in the future to achieve NARA’s strategic goals and objectives. We must focus on improving our performance in workforce planning to proactively identify and understand both short and long term organizational requirements. Knowledge of the strategic priorities of program offices assists in early identification of staffing requirements.

Effective recruitment and hiring practices directly impact our ability to reach the best talent in a competitive market. In FY 2010, as part of the Administration’s overall agenda to reform recruitment and hiring, a Presidential Memorandum was issued —*Improving the Federal Recruitment and Hiring Process*—directing agencies to overhaul the way the Federal Government recruits and hires the civilian workforce. Since that time, we initiated efforts to reduce the “time to fill” vacancies, with the process workflow starting with the hiring manager’s approval to fill a vacancy and ending with the employee’s start date. As a result of these efforts, early FY 2012 data shows that 14.28 percent of positions were filled within 80 days. This was up from the final FY 2011 results of 9.67 percent.

We remain committed to implement process efficiencies to reduce this time and enhance the experience for hiring managers and applicants alike. NARA’s leading challenge in the hiring process was our lack of an automated tool. We established a Human Resources (HR) Transformation Team in FY 2009 to oversee the upgrade of NARA’s HR automation infrastructure and the implementation of specific actions to improve overall HR services including the timeliness to complete hiring actions in NARA. In FY



2011, we fully implemented the Office of Personnel Management’s (OPM) USA Staffing tool, an automated hiring solution that allows applicants to apply for NARA positions by completing an online application questionnaire. We are migrating to the Department of Interior National Business Center (NBC) as our new shared service center provider for human resources information technology and payroll services. Through NBC, we will implement two new systems in FY 2012. The first, NBC’s Federal Personnel and Payroll System (FPPS), is a fully integrated personnel and payroll system that will enable NARA offices to initiate, route, and approve electronic personnel actions online, fully automating the hiring process. The second, Quicktime, is a web-based timekeeping system.

Also in FY 2012, we will continue our ongoing efforts to identify barriers to timely hiring, and to develop remedial action plans with aggressive timeframes for resolution. A team of staffing specialists are currently investigating “under what conditions can a job be filled within 80 days.” The focus of this effort is to indicate what actions need to be taken by each stakeholder in the hiring process that will lead to a recruit action being filled within 80 calendar days. Our goal is to also identify what types of positions are not a best fit for the 80 day model based on factors such as the uniqueness of the position, difficulty in finding available candidates, etc. We implemented a new service delivery model for our HR staffing services, moving away from a “triage” approach to a more strategic approach where staffing teams are aligned directly with customer groups.

We re-examined the Time-to-Hire performance target, in light of NARA’s recent organizational realignment and resulting restructuring of the Office of Human Capital. With performance reaching only 9 percent for hires completed within 80 days in FY 2011, we decreased our FY 2012 target from 50 to 25 percent. However, leadership changes and additions within the Office of Human Capital are resulting in restructured and redesigned work processes. For example, we are revamping processes to encourage planning ahead with management to fill vacancies by having our Staffing and Recruiting office partner with management in the recruitment process. Early FY 2012 data shows improvements in our timeliness. Throughout FY 2012 and FY 2013, we will continue to track the response time and delays as we focus on stabilizing and standardizing processes that support filling positions within 80 days.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Number of applicants.	6,362	6,803	9,143		
Number of applicants hired.	309	199	121		
Average number of days to fill position.	—	152	144		
<i>Performance target for percent of NARA’s positions filled in 80 days.</i>	—	30	40	25	40
Percent of NARA’s positions filled in 80 days.	—	12	10		

**Data source** Performance Measurement and Reporting System and semi-annual reports to the Archivist.

**Definitions** Applicant: Any U.S. citizen who submits a complete application in accordance with the instructions outlined in the job announcement; Underrepresented groups: groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black, Latino-Hispanic, Asian, Native Hawaiian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

***Milestones***

**FY 2009**

- NARA’s Strategic Human Capital Plan developed.

**FY 2010**

- NARA’s workforce planning process documented.
- Current hiring process mapped, job opportunity announcements streamlined, and applicant notification process in place.
- Action plan to mitigate the “time to fill” barriers implemented.
- Staffing manager to manage the implementation and oversee operation of NARA’s USA

Staffing system hired.

- Backlog of hiring actions reduced.
- USA Staffing automated hiring tool fully implemented.

**FY 2011**

- NARA hiring reform action plan implemented, including KSA's eliminated, category rating utilized, hiring managers trained, and hiring reform resource intranet web page developed.
- Workforce planning materials developed and piloted with the Human Capital Office. HR staffing service model realigned from "triage" approach to specific customer-focused teams.

**FY 2012 Estimated**

- Comprehensive time to fill analysis to identify any continuing barriers with remedial action plans conducted and timeframes set for resolution established.
- Time standards for each step in the hiring process established and implemented and those standards integrated into staff performance plans.
- Conditions for meeting 80 day goal assessed.
- Hiring process map revamped with emphasis on proactive actions with management.
- Efforts to standardize position descriptions for common positions conducted.
- Use of "open continuous announcements" piloted to determine if they can help NARA cut its time-to-fill numbers.
- Systems migration from the General Services Administration's (GSA's) CHRIS/PAR/ETAMS personnel/payroll/timekeeping systems to the Department of Interior National Business Center's (NBC's) FPPS and Quicktime integrated personnel/payroll and timekeeping system completed.
- Workforce planning rolled out agency-wide.

**FY 2013 Projected**

- Department of Interior National Business Center's (NBC) Workforce Transformation. Tracking System/Entry on Duty System (WTTS/EODS) implemented.
- Staffing plans and budget process streamlined.
- Workforce planning program evaluated.
- Formal agency-wide succession planning process documented.

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**Long Range Performance Target 6.4 By 2016, NARA's telework rate is 100 percent of the last available reported Federal Government average rate.**

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**FY 12 Estimated Performance** • 12 percent of NARA's eligible staff participates in the telework program.

**FY 13 Projected Performance** • 15 percent of NARA's eligible staff participates in the telework program.

**Outcome** Telework enhances employee quality of life, boosts employee recruitment and retention and supports emergency situations.

**Significance** We recognize the importance of non-traditional work arrangements as a way to enhance the quality of employee work life. In addition, telework is a tool we can use to help recruit and retain the best workforce, improve the productivity of our workforce, decrease impediments to the productivity of our workforce, and prepare for and cope with emergency situations.

**Means and Strategies** In accordance with Public Law 106-346 § 359, each Executive agency shall establish a policy under which eligible employees of the agency may participate in telecommuting to the maximum extent possible without diminished employee performance. Further legislation followed this mandate with specific direction to certain agencies to increase telework participation by specified amounts.

NARA established its telework program in August 2006. We recognize this work arrangement as a way to not only enhance the quality of work life, but also as a recruitment and retention tool, and an important part of our continuity of operations program. We continue to support the integration of telework into agency operations; however, more than 70 percent of NARA’s positions have been identified as ineligible for telework due to the nature of the duties and functions. Office of Personnel and Management (OPM) telework guidance specifically outlines restrictions that define positions that are not eligible to telework. For example, barriers identified range from positions that require working with classified materials to working with IT security issues to responsibilities requiring face-to-face personal contact.

In FY 2011, we hired a Work-life Wellness coordinator who serves as the telework program manager and is responsible for consistent program policy and accuracy of metrics and data tracking. We improved communications and developed a marketing strategy to increase the visibility of the telework program and help illustrate the business case for supporting telework, however, the participation rate still does not reach our goal. In late FY 2011, we began work on a Telework Directive and began avid marketing and communication to increase participation. We will implement an action plan to incorporate methods for collecting feedback on participation rates, satisfaction with telework, and impact on recruitment and retention. We will continue to review telework activities, provide assistance to timekeepers to improve data accuracy, and provide support to program areas to increase telework opportunities.

To ensure robust Internet access and IT infrastructure, we will continue to support NARA’s growing need for teleworker access to specific business applications while ensuring their operational security. The successful completion of internet access and IT infrastructure improvement projects such as the Trusted Internet Connection (TIC), will also contribute significantly to the accessibility and availability of NARA holdings and applications for the public, as well as NARA staff.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Percent of eligible Federal Government workers who could telework.	—	—	28	26		
<i>Performance target for percent of eligible NARA employees who telework.</i>	—	—	15	15	12	15
Percent of eligible NARA employees who telework.	—	—	16	23		
Number of telework hours worked by eligible NARA employees(in thousands)	—	—	63.8	112.9		

**Data source** Performance Measurement and Reporting System and semi-annual reports to the Archivist.

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**Long Range Performance Target 6.5 By 2016, public network applications are available 99 percent of the time.**

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- FY 12 Estimated Performance**
- Public network applications are available 98.87 percent of the time.
  - Develop a plan to host NARA e-mail through an approved cloud service provider.
  - Implement wireless capability at remaining Presidential Libraries.

**FY 13 Projected Performance**

- Public network applications are available 98.88 percent of the time.
- Implement at least two cloud-based solutions for applications that directly benefit public users of NARA records and resources.

**Outcome** NARA information and services are electronically accessible to the public 24 hours a day.

**Significance** Dramatic increases in computer interconnectivity, especially in the use of the Internet, continue to revolutionize the way our Government, our Nation, and much of the world communicate and conduct business. Our customers expect information and services to be available when they need them. However, this widespread interconnectivity poses significant risks to the Government's computer systems and the critical operations they support. The speed and accessibility, as well as the other enormous benefits of the computer age, if not properly controlled, allow individuals and organizations to interfere with critical operations for mischievous or malicious purposes. Reliable performance and security of our public network applications is essential to ensuring that customer expectations for access to our information and services can be met.

**Means and Strategies** NARA's fundamental strategic business goal as the national record keeper is to preserve and provide access to the records that document the work of the Federal government. NARA's Enterprise Architecture (EA) focuses on integrating technology planning with business planning. In general, the EA will facilitate the achievement of all six transformational outcomes of NARA's "A Charter for Change: Charting the Course." The EA is used to:

- Determine the agency's business requirements for information systems;
- Assess how best to partition information technology systems across the enterprise to ensure interoperability, reuse, and standardization; and
- Plan how to integrate and deploy information systems and technology to business users.

The authenticity and reliability of our electronic records and information technology systems are only as good as our IT security infrastructure. We must ensure the security of our data and our systems or we risk undermining our agency's credibility and ability to carry out our mission. Also, we risk the Government's ability to document the results of and accountability for its programs. IT security becomes even more critical as we increase our visibility through the implementation of Web 2.0 and of electronic government initiatives that expand online services to the public. The more we increase electronic access to our services and records, the more vulnerable we potentially are to intrusions, viruses, privacy violations, fraud, and other abuses of our systems. With the introduction of new technologies, we must remain steadfast in our efforts to maintain the integrity and security of our systems and data.

In FY 2010, the Federal CIO recommended that agencies consider cloud-based solutions when making technology-related decisions. Cloud computing offers benefits such as shared computing services, shared access and use of data by a variety of user groups, cost savings designed service plans, and accessibility from any networked computer, to name a few. We began working with two agencies to conduct a cloud-based pilot e-mail solution, however, in FY 2011, one partner was unable to continue the agreement due to funding reductions. NARA will pursue and evaluate cloud-based e-mail solutions from FISMA-compliant vendors for possible implementation.

In addition to supporting public network applications and ensuring their security, successful implementation and deployment of many NARA initiatives, including ERA, is dependent upon a robust, reliable, stable, scalable, and high performance technology infrastructure. NARA's infrastructure consists of the following components and services: servers, the wide area and local area networks, desktop and laptop computers, e-mail, Internet access, Intranet platforms, mobile devices, and storage. The NARA IT infrastructure is the foundation for secure and reliable computing. The current infrastructure includes support of 44 sites, nearly 5,000 workstations and telephone sets, more than 260 servers in addition to the network, email, security, and operation and system management tools.

We need to ensure the continuous improvement in the performance of the infrastructure to meet business requirements. As part of this, we upgraded our Local Area Network (LAN) services and desktop capabilities in 2011. We conducted a review of the current state of technology and business services against current and future requirements, based on requirements, technology maturity and commercial availability. The review resulted in upgrades to our e-mail, network operations and desktop operating systems, and productivity tools as well as technology for social media, collaborative groupware, and smart phones. In addition, NARA will review the implementation of its wireless network to see how it can better meet the needs of its researchers and staff. These services will be upgraded as appropriate.

**Key external factors** Constantly evolving hardware and software changes make it difficult to accommodate growth while ensuring the minimum performance levels on existing systems. In addition to the technical hurdles NARA faces in providing reliable support and services, new opportunities for strengthening the IT infrastructure from a security perspective may be introduced, which can affect the entire enterprise architecture.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Percent of public network availability.	100	100	100	100		
<i>Performance target for percent availability of public applications.</i>	98.83	98.84	98.85	98.86	98.87	98.88
Percent of public applications availability.	99.5	99.5	99.7	99.5		
Number of total hours that any public network application was unavailable.	424	414	305	459		
Number of network users for public applications (in millions).	6.9	6.8	2.6	2.3		
Cost per visit to public applications.	\$0.40	\$0.45	\$1.24	\$1.84		
Percent of customer's highly satisfied with NARA helpdesk services (average for year).	83	87	87	83		

***Milestones***

**FY 2008**

- Recompete of Information Technology Support Services contract initiated.
- Possible IT solutions for work-at-home to support Federal telework initiatives tested.

**FY 2009**

- NARA Information Technology and Telecommunications Support Services contract awarded.
- Strategy and Concept of Operations for integration and management of remote access for mobile users developed.
- Network bandwidth and capabilities for digitized voice services increased.
- Telephone infrastructure upgraded.

**FY 2010**

- Service level agreements under the NITTSS contract across the enterprise implemented.
- Agency wide data dictionary with metadata from major mission-related systems updated.

- FY 2011**
- Enterprise Storage Network Infrastructure implemented.
  - Local Area Network (LAN) services solution implemented.
- FY 2012 Estimated**
- Results and feasibility of cloud-based pilot e-mail solution determined for possible implementation.
- FY 2013 Projected**
- Two cloud-based solutions for applications that directly benefit public users of NARA records and resources implemented.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** NARANET: a collection of local area networks installed in 44 NARA facilities that are connected to a Multi-Protocol Label Switching (MPLS)-enabled network and with access to the Internet. NARANET includes personal computers with a standardized suite of software. NARANET was designed to be modular and scalable using standard hardware and software components.

*National Archives and Records Administration  
Benefits of Electronic Government (E-Gov) Initiatives*

**Benefits of Electronic Government (E-Gov) Initiatives**

*(In Whole Dollars; All Dollars are from the Operating Expenses appropriation unless otherwise noted)*

E-Gov Initiative	Benefits	Funding by Account	
		FY 2012	FY 2013
E-Rulemaking	e-Rulemaking allows NARA to participate fully in the Federal Docket Management System, making it easier for the public to review and comment on our regulations. With the addition of the Records Management module in FY 2007, NARA is now able to maintain electronic dockets in a recordkeeping system.	\$29,178 service fee	\$10,000 service fee
Recruitment One-Stop	This initiative benefits NARA by providing an effective mechanism for finding qualified applicants for vacant positions. Through USAJOBS.gov, Recruitment One-Stop provides an online portal through which citizens can easily search for employment opportunities at NARA. NARA posts all of its job announcements through USAJOBS.gov.	\$9,363 service fee	\$11,020 service fee
		\$7,661 service fee Revolving Fund	\$9,016 service fee Revolving Fund
Enterprise Human Resources Integration	EHRI replaces the OPF with an electronic file (eOPF). The eOPF provides the ability to capture and store images from paper records and to provide immediate online access and printed copies in digital form. Through this initiative, NARA is realizing savings through re-engineered business processes based around electronic folders vs. paper-based folders. This reduces the time agencies spend copying, faxing, storing, scanning, retrieving, and mailing paper folders.	\$38,435 service fee	\$46,316 service fee
		\$31,446 service fee Revolving Fund	\$37,894 service fee Revolving Fund

National Archives and Records Administration  
Benefits of Electronic Government (E-Gov) Initiatives

**Benefits of Electronic Government (E-Gov) Initiatives**

(In Whole Dollars; All Dollars are from the Operating Expenses appropriation unless otherwise noted)

E-Gov Initiative	Benefits	Funding by Account	
		FY 2012	FY 2013
E-Travel	This initiative provides NARA more efficient and effective travel management services. The benefits include cost savings associated with cross-government purchasing agreements and improved functionality through streamlined travel policies and processes, strict security and privacy controls, and enhanced agency oversight and audit capabilities. NARA employees benefit through more efficient travel planning, authorization, and reimbursement processes.	\$63,672 service fee	\$83,853 service fee
Grants.gov	This initiative benefits NARA and its grant programs by providing a single location to publish grant (funding) opportunities and application packages, and providing a single site for the grants community to apply for grants using common forms, processes and systems.	\$54,865 agency contribution	\$47,975 agency contribution
Grants Management LoB/Financial Management LoB*	This initiative benefits NARA and its grant programs by improving the delivery of services to grant recipients, improving decision-making and decreasing costs associated with building and maintaining Grants Management IT systems.	\$13,661 agency contribution	\$28,111 agency contribution
Geospatial LoB	The Geospatial LoB results in a more coordinated approach to producing, maintaining, and using geospatial data, and ensures sustainable participation from Federal partners to establish a collaborative model for geospatial-related activities and investments. NARA collaboration will further the preservation of permanently valuable geospatial records in the National Archives of the United States.	\$15,000 agency contribution	\$15,000 agency contribution

\* In FY 2012, the Grants Management Line of Business (GM LoB) was folded into the Financial Management Line of Business (FM LoB). FY 2013 levels may be subject to change.



## **FY 2013 Capital Improvements Plan**

The NARA Capital Improvement Plan (CIP) is a ten-year plan for capital projects to purchase, construct, or repair Federal buildings in NARA's custody and control. Including a project on the NARA CIP is not a commitment to funding and accomplishing the project: Projects may be deferred or delayed due to lack of available funds, emergencies, or changing priorities.

The NARA CIP is reviewed and updated on an annual basis through a structured process. The CIP update reflects the most recent Building Condition Report (BCR) for each NARA-owned facility, as well as input from building managers. Projects estimated to cost in excess of \$1.5 million are identified as major projects and are requested as separate line items in the annual NARA budget request for the Repairs and Restoration (R&R) appropriation. Projects costing \$1.5 million or less are prioritized and funded within base funding levels for Repairs and Restoration.

The FY 2013 CIP does not include NARA's highest priority capital investment, the National Archives Experience, Phase 2 in the National Archives building in Washington, DC. NARA's FY 2012 budget requested authority to reprogram \$6 million in unobligated balances appropriated in prior years for renovations to the John F. Kennedy Library and Museum in Boston, MA. NARA funded an additional \$5 million from the FY 2011 appropriation for Repairs and Restoration. The reprogramming requested in FY 2012 is sufficient to complete the project.

The National Archives Experience Phase 2 renovation is needed to improve access and flow for the more than one million visitors that experience NARA exhibits each year. The current visitor entrance was designed before September 11, 2001: Security and screening check points added to increase security have created choke points in the visitor flow patterns, resulting in over two-hour waits for visitors to see the Charters of Freedom. Renovations funded by the project will also create new exhibit space to highlight freedom documents such as the Emancipation Proclamation, the constitutional amendments expanding suffrage, and the records of the Civil Rights movement.

In FY 2013, NARA will add the new George W. Bush Presidential Library to its inventory of owned Federal buildings. This new facility, located on the campus of Southern Methodist University in Dallas, TX, will provide 208,000 gross square feet (GSF) of space for the Presidential Library and a museum, to be managed by NARA, and a gift shop, cafeteria, auditorium, and office space for the George W. Bush Presidential Foundation and Institute. NARA will only assume responsibility for the operations and maintenance and repairs and alteration of the space occupied by the library and museum, up to a maximum of 70,000 GSF. One-time costs associated with occupying the space and recurring costs of operations will be jointly borne by the Operating Expenses appropriation and the Foundation. Future repairs and renovation liabilities will be shared between the Repairs and Restoration appropriation and the Foundation.

## Project Descriptions

### **Eisenhower Library Renovations and Visitor Center Expansion (Design & Construction) –**

In FY 2011, NARA performed an updated BCR on the buildings at the Eisenhower Center in Abilene, Kansas. While the complex was found to be well constructed and maintained, it has never had a major renovation (only partial renovations) since it opened in the mid 1960s. Additionally, preservation requirements have changed since the time of the original construction. The Eisenhower Library complex needs a major renovation to bring each of the buildings up to the current Architectural Design Standards for Presidential Libraries (ADSPL) (in particular relative to proper storage of archival materials), and the Americans with Disabilities Act – Architectural Guidelines (ADA-AG), and to correct noted fire safety deficiencies. Most of the major building systems have reached the end of their service life and, using base R&R funds and energy savings performance contracts (ESPCs), NARA is currently in the process of replacing the systems that are in the most need of replacement and cannot wait for the larger renovation. Our plans are to take advantage of the fact that there are multiple buildings and phase the renovation work building by building over two fiscal years. In preparation for this planned effort, NARA prepared the updated BCR to identify any additional repairs required since the previous (2006) BCR. The updated BCR report (received in May 2011) indicates \$16,600 of Category 1 repairs that NARA will fund from base R&R funds in FY 2012. The Category 2 and 3 repairs total \$11.2 million (up from the previous amount of \$9.3 million in the 2006 BCR) plus additional Category 4 repairs in the amount of \$8.2 million. This project would be designed to correct all Category 2 and Category 3 deficiencies and any Category 1 deficiencies that have not already been accomplished. It should be noted that the increased repairs are in spite of the fact that we have already made many repairs using base R&R funds.

### **Johnson Library Space Alteration (Design & Construction) –**

In 2010, NARA performed an updated comprehensive space planning study for the Johnson Library which documented that substantial changes could be made to the building to improve the space utilization and efficiency of the facility (the facility layout is essentially unchanged from the original 1971 layout). Additionally, an updated 2009 BCR has provided a clearer picture of the extent of repairs necessary to the building. The library has not had a major renovation, other than recent repairs to the plaza and replacement of some of the building air handling units (under a 2006 DOE ESPC energy savings project), since its dedication in May 1971. Given the age of the facility coupled with the building condition reports and space studies it is clear that a major renovation is needed. The costs for the Category 1 repairs total \$232 thousand but are integral to the Category 2 and 3 repairs. The costs of the Category 2 and 3 repairs total \$11.6 million and there are \$12.8 million of Category 4 repairs identified.

### **Hoover Library Mechanical Renovations (Design & Construction) –**

In 2007, NARA performed an updated BCR for the Hoover Library. The BCR indicated that many of the current building systems, while well maintained were reaching the end of their anticipated service life and that the systems were incapable of providing the current archival storage conditions required by ADSPL. NARA plans to perform an updated BCR in FY 2012 and to schedule the replacement of the building systems following receipt of the results of the BCR (when we can best define the scope of the necessary renovations).

**Ford Library Roof Replacement (Planned to be funded from Base R&R funds)** – The current roof is a single ply membrane roof that was installed in 1995. By FY 2012, the existing roof would have been seventeen years old and nearing the end of its anticipated service life. NARA proceeded with the replacement of the roof in FY 2011 using base R&R funds before it developed leaks that might cause damage to interior finishes and holdings. Based on the current BCR, NARA had previously made some minor roof repairs that were required as Category 1 type repairs to insure that damage will not occur while funding for the replacement is programmed. The BCR also indicated that the skylights require approximately \$30,000 worth of Category 2 repairs. NARA is funding from FY 2012 base R&R funds the replacement of the skylights.

**Ford Library Electrical, HVAC and Elevator Repairs, and Building Renovation (Design & Construction)** – The BCR that was completed in August 2007 indicated several Category 2 repairs – repairs that require attention within 5 years of the report. While some minor repairs have been made, the 2007 estimate of costs for electrical, HVAC and elevator repairs exceeds what can be funded from base R&R funds. Recent information from the Library staff is that the repairs to the elevators at the Library are urgently required and may have to be funded from the base R&R funds. The replacement of the elevators is currently programmed from base R&R funds for FY 2012. The scope of this project would then be adjusted to only cover the HVAC and other building renovation items since these repairs are essential yet not currently funded.

**Carter Library Renovation (Design & Construction)** – The Carter Library was built in 1986. NARA recently replaced many of the mechanical items in connection with the Foundation funded renovation of the museum exhibit (to take advantage of the fact that the museum space was temporarily closed). This effort helped to bring some areas of the facility into compliance with current archival standards required by ADSPL and to provide for more energy efficient equipment. Unfortunately, we were not able to do all of the necessary renovations from our base R&R appropriation and still be able to provide the necessary repairs to the other NARA facilities. We plan to continue the replacement of mechanical and electrical equipment and to perform all remaining Category 2 and Category 3 BCR repairs. In the meantime, the emergency generator is in such poor condition, we have programmed the design of a replacement emergency generator using FY 2012 base R&R funds. We will anticipate having to use base R&R funds to fund the construction of this replacement emergency generator in FY 2013.

**Ford Library Parking Lot Expansion** – Currently the Ford Library parking lot is very small and, when there are large events, parking capacity is exceeded. This project would increase the available parking for the facility. Logically this effort could be included with the project to perform the building renovation if funding was available.

**Hoover Library Flood Control Work (Planned to be funded from Base R&R funds)** – Adjacent to the library building is a stream that overflows when the West Branch, Iowa area experiences heavy rains. While there has never been a situation where flooding has occurred that affected the library, NARA is concerned that there is the potential for damaging flooding since the 100 year flood level is approximately one foot above the main floor elevation of the Library. And, the current ADSPL standards require that a library be 100 feet from and 5 feet

above a flood plain. Since this cannot be achieved without rerouting the stream, NARA studied ways to provide some other form of physical barrier to prevent the possibility of flooding when the area is subject to heavy rains. Since several of the options developed in the study require work on National Park Service land, this project is being coordinated with the NPS and NARA hopes to be able to fund this project from base R&R funds.

**Archives II Roof Replacement** – The original roof on the Archives II building was installed in 1992 during the building construction. Most roofing systems have an anticipated service life of 15 to 20 years. NARA has already done several repairs to the building roof. In FY 2010, using base R&R funds, a section of the administrative wing roof that was leaking causing water damage and mold development was replaced. We replaced another section of the roof in FY 2011 (over the research complex). There are still several areas of the roof that require replacement. When we replace the roof sections, we include installation of solar panels for the most energy efficient installation.

**Truman Library Renovation (Design & Construction)** – In the late 1990s, NARA with the help of GSA renovated a portion of the Truman Library. At that time, there were areas that were not included in the renovations. Since that time, many additional repairs have been made based on BCR recommendations (mostly related to the fire protection and fire alarm systems and an elevator replacement project). The areas that have not been renovated still need a renovation. Further, the previous renovation was performed prior to the issuance of the current archival standards (2002). Under the proposed renovation design, NARA would work to bring the entire building into compliance with the current ADSPL standards.

**Reagan Library Renovation (Design & Construction)** – The Reagan Library was constructed in 1991. While NARA added to the building in 2003 with the construction of the Presidential Learning Center, many systems within the remainder of the building will reach the end of their service life after 25 years and will require a major renovation. NARA used base R&R funds working to replace some of these systems in connection with a Foundation funded renovation of the museum space. NARA replaced some of the HVAC equipment from base R&R funds but only to the extent that is necessary to replace the equipment in areas disturbed by the renovation of the museum. At the end of the current project, there will still be several areas of the building requiring renovations.

**Archives II Replace Interior P/A System** – The interior paging system is the means by which NARA can immediately contact all employees in case of an emergency. The system was installed when the building was new in the early 1990s and was repaired in the early 2000s. The anticipated service life of the system is 20 years and through routine testing it is apparent that the system will need replacing.

**Archives II HVAC Renovations** – Most major mechanical equipment has an anticipated service life of between twenty and thirty years. The HVAC system was installed in 1991. NARA needs to start planning for replacement of many of the Archives II HVAC systems.

**Clinton Library Desiccant Drier Replacement** – In order to achieve the necessary preservation standards for temperature and relative humidity, the Clinton Library design incorporated several desiccant driers (used to reduce humidity levels in storage areas). Desiccant driers normally have a service life of between ten and fifteen years before they need a major retrofit. The driers were installed in 2004 and will need to be replaced.

**Archives II Chiller Plant Retrofit** – Most mechanical equipment has an anticipated service life of twenty to thirty years depending on factors such as the original installation, the quality of maintenance, and the amount of use the equipment has had, etc. The larger building systems, chillers, cooling towers, boilers, etc. generally are towards the higher end of the service life. Most of the mechanical systems were installed in the early 1990s and, to meet archival storage conditions, require constant use. It is anticipated that the major systems can be replaced in a project separate from the replacement of the air handling units.

**Archives I Replace Exterior Windows and Doors** – The Archives I building is a historic building. As such, replacing the windows and doors for energy efficiency would be an extensive, but necessary, project.

**Nixon Library Renovation (Design & Construction)** – In 2007, NARA accepted the Nixon Library in Yorba Linda, California from the Nixon Foundation. Prior to accepting the building, the Foundation performed a partial renovation of the facility to bring the artifact storage area up to the current archival storage conditions. The museum area of the facility was not included in this renovation. At the time of the transfer, the building was approximately 17 years old. A BCR was performed prior to acceptance to identify the potential repair costs and plans were made to take care of some of the more immediate needs of the facility. Since the facility was too small to house all of the textual and artifact holdings stored in College Park, Maryland and Laguna Niguel, California, plans were developed for an approximate 15,000 square foot archival storage addition to the library. That addition was completed in 2009. In FY 2010, using base R&R funds, NARA replaced the museum air handling units and several other major HVAC components (chillers and pumps) since these replacements could not wait for future renovations. Using an updated BCR, NARA will determine the future needs for the design of the building renovation for the remaining areas of the building.

**Kennedy Library Seawall Repairs** – Repairs were made in 2002 to the existing seawall. The seawall requires continual maintenance and NARA estimates renovation on the seawall will be required approximately every fifteen years.

**GHW Bush Library Renovation (Design & Construction)** – By FY 2017, the GHW Bush Library will be twenty years old and, while the building is currently in good condition (especially with the recent replacement of the roof to stop water leaks), we need to anticipate and plan for a renovation to the building.

**Clinton Library Renovation (Design & Construction)** – The Clinton Library was opened in 2004. By FY 2019, the building will be sixteen years old and it is anticipated that some renovation work will be needed to the building.

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