National Archives and Records Administration

FY 2014
CONGRESSIONAL JUSTIFICATION

April 10, 2013

National Archives and Records Administration

SUMMARY of the FY 2014 REQUEST

Fiscal Year 2014 Budget Request

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Summary of the Request

The FY 2014 budget of the National Archives and Records Administration (NARA) requests $386 million in discretionary appropriations. This is a decrease of $6 million from the FY 2012 enacted level. Within the aggregate request, $371 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.

Appropriations Request
(Dollars in Thousands)

	FY 2012 Enacted	FY 2013 Annualized CR level	FY 2014 Request
Operating Expenses Appropriation	$ 373,300	$ 375,585	$ 370,706
Office of Inspector General	4,100	4,125	4,130
Repairs and Restoration	9,100	9,156	8,000
NHPRC Grants Program	5,000	5,031	3,000
Total Appropriations Request	**$ 391,500**	**$ 393,897**	**$ 385,836**

NARA's budget requests $368 million in net budget authority. NARA net budget authority is calculated as the appropriation request, minus amounts used for repayments of principal on debt held by the public that was used to finance the construction of the National Archives facility at College Park, MD. Repayments of principal are provided from the Operating Expenses appropriation. For FY 2014, this amount totals approximately $18 million. NARA will complete repayment on this debt in FY 2019.

Summary of Discretionary Budget Authority
(Dollars in Thousands)

	FY 2012 Enacted	FY 2013 Annualized CR level	FY 2014 Request
Operating Expenses Net Budget Authority	$ 358,099	$ 359,064	$ 352,751
Office of Inspector General	4,100	4,125	4,130
Repairs and Restoration	9,100	9,156	8,000
NHPRC Grants Program	5,000	5,031	3,000
NARA Discretionary Budget Authority	**$ 376,299**	**$ 377,376**	**$ 367,881**

Operating Expenses

NARA requests an appropriation of $371 million for Operating Expenses in FY 2014, including $30 million for ERA. NARA's request for Operating Expenses is a reduction of -$2.6 million and -10 Full-Time Equivalents (FTE) from the FY 2012 enacted level. NARA's request is the net of several program increases and reductions:

(1) *-$7,788 thousand in savings from efficiency improvements and non-recurring one-time costs associated with National Archives facilities;*

(2) *-$5,600 thousand in savings from optimizing the Information Technology (IT) portfolio;*

(3) *-$1,662 thousand and -14 FTE in savings from reprioritizing work and improving organizational alignment within NARA;*

(4) *$1,456 thousand for the FY 2014 pay raise and annualization of the FY 2013 pay raise;*

(5) *$9,450 thousand and 4 FTE to create a Digital Processing Environment that will accelerate the processing and public release of archival data in machine-readable formats;*

(6) *$1,550 thousand to Modernize Federal Recordkeeping by developing the commercial market for records management shared services.*

Office of Inspector General

NARA requests $4.1 million for the Office of Inspector General (OIG) in FY 2014. This is an increase of $30 thousand from the FY 2012 enacted level. The requested increase provides for the FY 2014 pay raise and annualization of the FY 2013 pay raise for employees of the OIG. Funds requested in FY 2014 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 2014. This is a decrease of -$1.1 million from the FY 2012 enacted level. Funds requested in FY 2014 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 2014, a decrease of -$2 million from the FY 2012 enacted level. Funds requested in FY 2014 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.

Strategic Context

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. The NARA Transformation is defined by six "transformational outcomes" which describe 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.

<u>**NARA Mission**</u>

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.
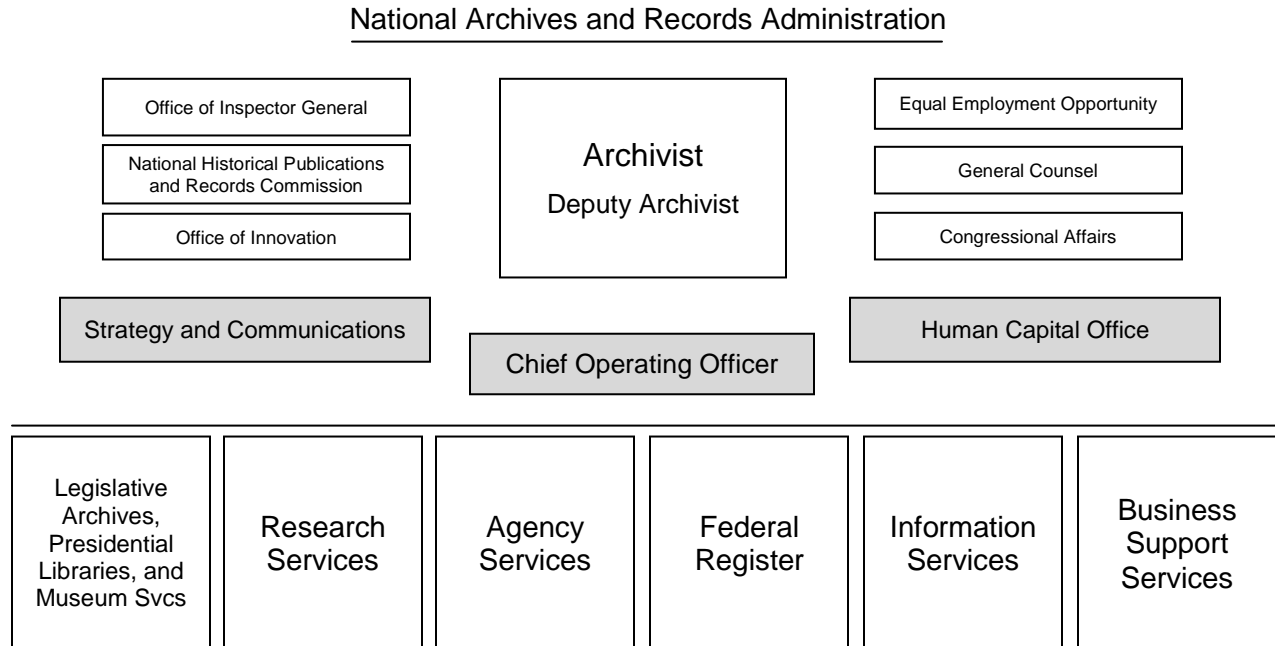
<u>**Transformational Outcomes**</u>

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

NARA's organizational structure focuses agency resources and management attention on delivering coordinated and effective services to key stakeholders and customers. NARA's customer-focused organizations allow the agency to better engage its stakeholders, encourage their collaboration and participation, and respond to their needs expediently and efficiently. The 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.

National Archives and Records Administration

Office of Inspector General	Archivist	Equal Employment Opportunity
National Historical Publications and Records Commission	Deputy Archivist	General Counsel
Office of Innovation		Congressional Affairs

Strategy and Communications		Human Capital Office
	Chief Operating Officer	

Legislative Archives, Presidential Libraries, and Museum Svcs	Research Services	Agency Services	Federal Register	Information Services	Business Support Services

- *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 efforts to meet 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, facilities, and expertise that support agency operations.

Summary of Requested Appropriations Action
(Dollars in Thousands)

	FY 2012 Enacted	FY 2013 Annualized CR level	FY 2014 Request
Operating Expenses:			
Legislative, Presidential, and Museum Services	$ 109,643	$ 110,466	$ 109,618
Research Services	98,479	97,990	97,818
Agency and Related Services	83,406	86,203	85,539
Facility Operations	81,772	80,926	77,731
Total Appropriation	$ 373,300	$ 375,585	$ 370,706
Redemption of Debt	*-15,201*	*-16,521*	*-17,955*
Net Budget Authority	*$ 358,099*	*$ 359,064*	*$ 352,751*
Office of Inspector General	4,100	4,125	4,130
Repairs and Restoration	9,100	9,156	8,000
NHPRC Grants Program	5,000	5,031	3,000
Total Appropriations Request	**$ 391,500**	**$ 393,897**	**$ 385,836**
Discretionary Net Budget Authority	*$ 376,299*	*$ 377,376*	*$ 367,881*
Full-Time Equivalents (FTE)	**3,224.0**	**3,217.0**	**3,207.0**

Total Discretionary Obligations by Object Classification
(Dollars in Thousands)

		FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
11.1	Full-time, permanent...	$ 126,864	$ 126,808	$ 128,216
11.3	Other than full-time permanent............................	5,241	5,617	5,617
11.5	Other personnel compensation............................	1,996	2,114	2,117
11.8	Special personal services payments...................	118	132	132
12.1	Civilian personnel benefits..................................	38,381	38,383	38,952
13.0	Benefits for former personnel..............................	97	97	97
21.0	Travel and transportation of persons..................	1,668	1,727	1,727
22.0	Transportation of things.......................................	1,077	439	429
23.1	Rental payments to GSA......................................	6,705	6,944	6,405
23.2	Rental payments to others...................................	1,630	274	268
23.3	Communications, utilities, and misc. charges.....	16,295	18,335	17,600
24.0	Printing and reproduction....................................	931	870	850
25.1	Advisory and assistance services.......................	18,682	17,056	22,205
25.2	Other services from non-Federal sources...........	24,417	28,300	24,784
25.3	Other goods and services from Federal sources	16,000	16,547	16,158
25.4	Operation and maintenance of facilities..............	42,692	40,348	35,233
25.5	Research and development contracts.................	1,000	1,000	176
25.7	Operation and maintenance of equipment..........	27,175	28,053	29,608
26.0	Supplies and materials..	3,121	3,150	3,057
31.0	Equipment...	19,985	13,242	10,931
32.0	Land and structures...	25,845	10,459	9,303
41.0	Grants, subsidies, and contributions...................	5,429	5,031	3,000
43.0	Interest and dividends..	13,770	12,450	11,016
94.0	Financial transfers...	15,201	16,521	17,955
99.0	**Obligations, appropriated...............................**	**$ 414,320**	**$ 393,897**	**$ 385,836**
	Subtotal, PC&B...	*172,697*	*173,151*	*175,131*
	Subtotal, non-labor....................................	*241,623*	*220,746*	*210,705*

Note: FY 2012 actual obligations include obligations of available balances from prior year appropriations.

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National Archives and Records Administration

OPERATING EXPENSES

Fiscal Year 2014 Budget Request

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Appropriation Language

For necessary expenses in connection with the administration of the National Archives and Records Administration and archived Federal records and related activities, as provided by law, and for expenses necessary for the review and declassification of documents, the activities of the Public Interest Declassification Board, **[** and **]** the operations and maintenance of the electronic records archives, **[** and for **]** the hire of passenger motor vehicles, and for uniforms or allowances therefor, as authorized by law (5 U.S.C. 5901 **),** **[** et seq.), **]** including maintenance, repairs, and cleaning, **$370,706,000.**

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 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.

- *Agency and Related Services.*—This activity provides for the services NARA provides 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)

	FTE	Budget Authority
FY 2012 Enacted level ………………………………………	1,674.0	$ 373,300
FY 2014 Appropriation request……………..……....……....……	1,664.0	370,706
Net Change…………………….……………………	-10.0	-$ 2,594

	FTE	Budget Authority
Program Decreases:		
Savings from efficiency improvements and non-recurring one-time costs associated with National Archives facilities		-$ 7,788
Savings from optimizing the Information Technology portfolio		-5,600
Reduction from reprioritizing work and improving organizational alignment	-14.0	-1,662
Subtotal, Program Decreases……………………………….	-14.0	-$ 15,050
Program Increases:		
FY 2014 Pay Raise and annualization of FY 2013 Pay Raise		$ 1,456
Digital Processing Environment to accelerate the processing and public release of archival data in machine-readable formats	4.0	9,450
Modernizing Federal Recordkeeping by developing the commercial market for records management shared services	—	1,550
Subtotal, Program Increases……………………………….	4.0	$ 12,456
Net Change…………………………………………………..	**-10.0**	**-$ 2,594**

Reimbursable Programs: In FY 2014, NARA anticipates providing reimbursable services to other Federal agencies in the amount of $1,647 thousand and 26 FTE. Reimbursable records services include preparing reproductions of archival documents, records management training and workshops, declassification services, and other, related projects.

The FY 2014 budget requests an appropriation of **$370,706 thousand and 1,664 FTE** for NARA Operating Expenses, including $29,676 thousand and 35 FTE for the operations and maintenance of the Electronic Records Archives (ERA) information system. This reflects a net decrease of -$2,594 thousand and -10 FTE from the FY 2012 enacted level.

The request includes program reductions totaling -$15,050 thousand and -14 FTE, including:

- -$7,788 thousand in savings from non-recurring one-time costs to acquire new archival storage space and improved efficiency in the operations and maintenance of National Archives facilities nationwide. Efficiency savings will come from contract consolidations, improved requirements definition, and utility savings due to improvements in building energy efficiency. Savings from non-recurring one-time costs include savings reported in the FY 2013 President's Budget.

- - $5,600 thousand in savings from optimizing the NARA Information Technology (IT) portfolio. NARA has identified savings from migrating IT infrastructure, email, and other applications to a hosted environment, adopting shared services IT security tools, and retiring legacy information systems. Savings include a net reduction to the ERA program, reflecting the realignment of resources from corrective and adaptive activities to activities necessary to migrate ERA to a cloud computing environment.

- -$1,662 thousand and -14 FTE in reductions from reprioritizing activities and spending, including savings from restructuring the format of nationwide exhibit programs, reductions to cut travel spending to a level that is 30 percent below FY 2010 levels, and a number of smaller initiatives designed to reduce spending on items not directly focused on program delivery.

The request includes $12,456 thousand and 4 FTE in program increases, including:

- $1,456 thousand to provide for the FY 2014 pay raise (1.0 percent) and the annualization of the FY 2013 pay raise (0.5 percent).

- $9,450 thousand and 4 FTE to establish a Digital Processing Environment (DPE) to digitize large volumes of paper records and process electronic archival records for release to the public. This initiative would acquire temporary data storage and software applications necessary to process one million digital images per year and make those images available to the public in fully-digital, machine-readable text.

- $1,550 thousand to Modernizing Federal Recordkeeping to provide for a joint effort between Federal agencies and the vendor community to establish common systems requirements, standard business processes, and related guidance to support the development of commercial, off-the-shelf (COTS) records management solutions and shared services offerings.

Digital Processing Environment

NARA's request includes $9,450 thousand and 4 FTE to accelerate digitization, processing, and on-line public access to analog and born-electronic archival records. This initiative would provide for a Digital Processing Environment (DPE) composed of temporary storage and archival processing applications, to process electronic records for submission to long-term electronic record management systems (ERA and the On-line Public Access system, OPA). This initiative also requests additional archival staff to process increased volumes of digitized and electronic archival records for public access.

Key functions of the DPE include:

(1) *The DPE would provide large capacity, dedicated storage for work-in-process electronic records.* The DPE would allow NARA to process large electronic files, including higher-resolution images and electronic records with enhanced metadata. Larger file sizes would allow NARA to use in-house digitization resources to produce true digital surrogates (a faithful representation of the analog record in a digital format) and complete the archival processing necessary to produce versions of federal government records that can be retained and preserved to provide meaningful public access.

(2) *The DPE would provide NARA with the necessary tools to process accessioned electronic records, including "big data" statistical series, in machine-readable formats that deliver the most value to the public and researchers.* The DPE would provide archival processing applications for fully-electronic processing of electronic records and seamless interfaces with other NARA systems that would permit the efficient transfer of records to long-term preservation systems and public access. This initiative includes funds to assess the viability of expanding the use of optical character recognition (OCR) technology to create enhanced metadata, and applied research funding to improve OCR technology and techniques. This initiative would establish a "proving ground" for developing practical techniques for assembling and providing public access to "big data" datasets from archival records.

(3) *The DPE would allow NARA to accelerate on-line public access to large volumes of government records, and shift NARA service delivery from "pulling" customer requests to "pushing" data out.* The DPE would allow NARA to process larger volumes of electronic records and release them to the public in machine-readable formats. The DPE would provide an opportunity to engage the public in finding new means to make electronic archival records and their metadata easier to find on-line. The machine-readable formats of DPE-processed records would allow NARA and the private sector to develop new technological tools such as Application Programming Interfaces (API) for distribution and mash ups of digital data derived from archival records. Overall, the DPE would allow NARA to make archival records accessible to new communities of researchers, entrepreneurs, and software developers, which would drive innovation within and outside of NARA, and better position NARA to efficiently deliver large volumes of government data to the public.

Modernize Federal Recordkeeping

NARA's request includes $1,550 thousand to lead a cooperative effort between Federal agencies and industry to establish joint data standards and technical requirements necessary to drive development of commercially available, off-the-shelf (COTS) Government records management solutions. This effort would support the migration of Federal email and data storage to cloud computing shared service providers by working with agencies and vendors to establish standard records management requirements for private sector software developers to incorporate into new applications and shared service offerings. The resulting requirements would support development of cost-effective records management functionality that can be integrated into business and administrative systems and commodity IT shared services.

This initiative would help to develop a market where Federal agencies have competitive options for commercial shared services and cloud applications that comply with Federal records management requirements, including ensuring that agencies have the ability to migrate their records from one solution to a more competitive or better-performing alternative that is offered.

This effort would drive Government recordkeeping into a shared services environment in three distinct ways:

(1) *Standard business process and seamless data integration.* NARA would lead a collaborative, public / private effort to define common business practices for records management functions, data elements and metadata standards, and business rules that will enable commercial technology providers to incorporate Federal records management requirements into their products, supporting seamless integration into common work processes and information systems.

(2) *Electronic records management proving ground.* NARA would work with other agencies and vendors to provide for testing of commercial records management solutions – including records management functionality in commodity IT and shared service offerings – to ensure alignment with Federal records management statutes, regulations, and IT technical requirements. NARA would use challenges and competitions to stimulate commercial software development and reward innovations that are the most replicable and broadly applicable.

(3) *Electronic records management readiness.* NARA would collaborate with other agencies and the vendor community to identify standard quality and cost metrics that Federal agencies can use to benchmark and compare the performance of alternative records management solutions and service providers. NARA would also provide records management shared services guidance, including: a fully-defined menu of records management shared services and functionality provided by shared service providers; model Service Level or Terms of Use Agreements outlining provider and client responsibilities; and guidance for agencies to use when selecting and migrating to a shared services provider.

Amounts Available for Obligation

(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
Transfer in from trust fund accounts………………	$ 532	$ 0	$ 0
Discretionary authority:			
Annual appropriation………………………………..	**$ 373,300**	**$ 375,585**	**$ 370,706**
Reimbursable authority:			
New spending authority collected…………………	$ 1,670	$ 1,570	$ 1,647
Change in uncollected payments…………………	$ 20	$ 0	$ 0
Subtotal, reimbursable authority…………………	$ 1,690	$ 1,570	$ 1,647
Unobligated balance, expiring………………………	-$ 423	$ 0	$ 0
Unobligated balance, reimbursable…………………	$ 0	$ 0	$ 0
Total obligations………………………………..	$ 375,099	$ 377,155	$ 372,353
Obligations, appropriated…………………………	**$ 373,409**	**$ 375,585**	**$ 370,706**
Obligations, reimbursable……………………………	1,690	1,570	1,647
Net outlays	*$ 335,461*	*$ 354,281*	*$ 335,348*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
11.1 Full-time, permanent……………………………………	$ 124,402	$ 125,107	$ 125,699
11.3 Other than full-time permanent………………………..	5,241	5,651	5,617
11.5 Other personnel compensation……………………….	1,791	1,921	1,909
11.8 Special personal services payments………………..	93	108	107
12.1 Civilian personnel benefits……………………………	37,467	37,698	38,022
13.0 Benefits for former personnel……………………….	97	98	97
21.0 Travel and transportation of persons……………….	1,633	1,697	1,687
22.0 Transportation of things………………………………	1,076	430	430
23.1 Rental payments to GSA……………………………..	6,705	6,985	6,405
23.2 Rental payments to others……………………………	1,630	270	268
23.3 Communications, utilities, and misc. charges…….	16,295	18,412	17,600
24.0 Printing and reproduction……………………………..	928	852	847
25.1 Advisory and assistance services……………………	16,074	16,747	22,195
25.2 Other services from non-Federal sources…………	24,138	27,463	25,315
25.3 Other goods and services from Federal sources…	15,968	16,451	16,128
25.4 Operation and maintenance of facilities……………	41,185	39,639	35,233
25.5 Research and development contracts………………	1,000	1,000	176
25.7 Operation and maintenance of equipment…………	26,962	28,135	28,769
26.0 Supplies and materials………………………………..	3,095	3,056	3,037
31.0 Equipment………………………………………………..	16,246	13,583	10,891
32.0 Land and structures……………………………………	2,412	1,311	1,303
43.0 Interest and dividends………………………………..	13,770	12,450	11,016
94.0 Financial transfers……………………………………..	15,201	16,521	17,955
99.0 Obligations, appropriated………………………..	**$ 373,409**	**$ 375,585**	**$ 370,706**
Subtotal, PC&B……………………………………..	*169,091*	*170,583*	*171,451*
Subtotal, non-labor…………………………………..	*204,318*	*205,002*	*199,255*
99.0 Obligations, reimbursable……………………………	1,690	1,570	1,647
99.0 Total obligations………………………………………	$ 375,099	$ 377,155	$ 372,353

NARA Budget Activities

NARA resources and operations are aligned in an integrated process that produces meaningful public access to permanent records, records that document the rights of citizens, and records that ensure government accountability. The Operating Expenses appropriation provides for salaries and expenses associated with preservation, processing, and public access to permanent records and related functions.

NARA's request for Operating Expenses is presented in four budget activities, which reflect the agency organizational structure. The budget activities consolidate related functions to report the total resources NARA dedicates to each of its key customer segments and stakeholder groups.

- *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 access to archival government records for researchers and citizens and preserves archival holdings for the benefit of future generations.

- *Agency and Related Services.*—This activity includes:

  - The Agency Services organization, which supports the records management needs of all Federal agencies and represents the public's interest in the transparency of those 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, 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, which are managed by the Business Support Services organization, including interest payments and repayments of principal on debt associated with construction of the National Archives 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 – and the costs of agency-wide management and administration are allocated across NARA budget activities.

Obligations by Program Activity
(Dollars in Thousands)

	FY 2012 Actual		FY 2013 Annualized CR level		FY 2014 Request	
	FTE	Dollars	FTE	Dollars	FTE	Dollars
1. Legislative, Presidential, and Museum Services:						
Presidential Libraries	435.0	$99,333	437.0	$93,219	433.0	$92,484
Legislative Archives, Presidential Materials, and Public Programs	107.0	17,033	110.0	17,247	109.0	17,134
Subtotal, LPM Services.................	542.0	$116,366	547.0	$110,466	542.0	$109,618
2. Research Services:	737.0	$93,957	736.0	$97,990	733.0	$97,818
3. Agency and Related Services:						
Agency Services	280.0	$42,883	284.0	$44,231	282.0	$44,374
Electronic Records Archives	34.0	29,454	35.0	30,633	35.0	29,676
Federal Register	71.0	11,155	72.0	11,339	72.0	11,489
Subtotal, Agency and Related.........	385.0	$83,492	391.0	$86,203	389.0	$85,539
4. Facility Operations..............................	0.0	$79,594	0.0	$80,926	0.0	$77,731
Total, Appropriations Request...........	**1,664.0**	**$373,409**	**1,674.0**	**$375,585**	**1,664.0**	**$370,706**

Legislative, Presidential, and Museum Services
(Dollars in Thousands)

FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
$ 116,366	$ 110,466	$ 109,618

NARA's FY 2014 request for *Legislative Archives, Presidential Libraries, and Museum Services* includes:

- $66,307 thousand for the Presidential Libraries system, including $27,125 thousand for the operations and maintenance of facilities;

- $6,683 thousand for nationwide education, outreach, and exhibits programs;

- $2,430 thousand for the Center for Legislative Archives, which provides records management services for Congress; and

- $1,012 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 $33,186 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 exclusive repository for the official 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 2014 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 four years 2009 through 2012, NARA received 333 special access requests resulting in the production of 279,000 pages of documents. By comparison, NARA received only 62 requests in the previous three years, producing 20,000 pages.

- NARA has a 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 means it may take decades to determine which records can 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 121,000 cubic feet of textual records, and NARA has only processed 21,000 cubic feet since passage of the PRA.

Strategies and Actions

LPM Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2014:

1. 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.

2. 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.

3. By FY 2016, LPM Services will be able to accept all Presidential and Vice Presidential records that are available for transfer regardless of media or format and immediately begin archival processing for eventual public release.

FY 2014 Budget Request

The FY 2014 budget request provides $109,618 thousand for LPM Services, a decrease of -$848 thousand from the FY 2013 annualized CR level, a net of:

- *-$1,565 thousand in savings from improved contract management and energy efficiency savings in Presidential Library facilities.*

- *-$337 thousand from restructuring the format of nation-wide exhibits programs.*

- *+$1,054 thousand for the FY 2014 pay raise and from increases in allocated costs of management and administration, including information technology.*

Research Services
(Dollars in Thousands)

FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
$ 93,957	$ 97,990	$ 97,818

NARA's FY 2014 request for *Research Services* includes $57,447 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 $40,371 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. Program priorities are founded on new, formalized methods of listening to, identifying, and meeting customer needs.

Management challenges and opportunities for FY 2014 and future years:

- Lack of adequate storage space is a serious and growing threat to the ability of Research Services to accept new archival records and provide access to researchers and the public. NARA currently holds more than 4.5 million cubic feet of archived documents, but it holds an additional 28.4 million cubic feet of temporary records, of which approximately 20 percent or 5.7 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. NARA received nearly 26 million site visits to archives.gov and an additional 38 million views of NARA social media sites in FY 2012. Over the last 11 months of FY 2012, NARA saw 750 million views of Wikipedia articles containing NARA images. In FY 2012, NARA received approximately 123,000 visits to brick-and-mortar facilities to view original archived documents.

- 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 lacks effective systems for 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 exploring the use of 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 2014:

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 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.

3. 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 2014 Budget Request

The FY 2014 budget request provides $97,818 thousand for Research Services, a decrease of -$172 thousand from the FY 2013 annualized CR level, a net of:

- *-$1,881 thousand to non-recur one-time funding to transport archival records to new storage space in Denver, CO and the New York Customs House in New York, NY.*

- *-$380 thousand and -7 FTE in savings from reprioritizing activities and spending.*

- *+$450 thousand and 4 FTE to support the Digital Processing Environment initiative.*

- *+$1,639 thousand for the FY 2014 pay raise and increases in allocated costs of management and administration, including information technology.*

Agency and Related Services
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
Agency Services	$ 42,883	$ 44,231	$ 44,374
Electronic Records Archives	29,454	30,633	29,676
Federal Register	11,155	11,339	11,489
Total	$ 83,492	$ 86,203	$ 85,539

NARA's FY 2014 request for *Agency and Related Services* includes:

- $26,422 thousand for the Agency Services organization, including $4,085 thousand for the Information Security Oversight Office, $7,442 thousand for the National Declassification Center, and $1,074 thousand for the Office of Government Information Services;

- $29,676 thousand for the electronic records management activities of the Electronic Records Archives (ERA) system; and

- $6,888 thousand for the Office of the Federal Register.

An additional $22,553 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 support 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 helps to ensure that agencies preserve Federal government records that document the national experience and protect legal rights.

Management challenges and opportunities for FY 2014 and future years:

- Decades of technological advances have transformed agency operations, creating challenges and opportunities for agency records management. Greater reliance on electronic communications and systems has radically increased the volume and diversity of information that agencies must manage. If records management policies and practices are not updated for the digital age, the surge in information will overwhelm agency records management personnel, processes, and technology, leading to higher costs and increased opportunities for valuable records to be lost.

- NARA has shown progress in processing classified records for public release, but the number of unprocessed records continues to grow. NARA's National Declassification Center (NDC) has significantly reduced the 360 million page backlog of previously reviewed records that existed in January 2010. NDC has established new processes to expedite review of classified records and has improved collaboration with other agencies in the review of their records. As of FY 2012, NDC had assessed 350 million pages and completed quality assurance review of 207 million pages, resulting in 89 million pages being removed from the declassification backlog, including more than 52 million pages that have been released to the public. However, the declassification challenges facing NARA continue to grow as tens of millions of new pages require declassification processing annually, many of which 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, 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. These statistics highlight the importance of the dispute resolution processes offered by the Office of Government Information Services (OGIS) as a cost effective tool for resolving FOIA disputes and an alternative 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 2014:

1. By FY 2014, Agency Services will work with customers and stakeholders inside and outside of Government to develop a framework for modernizing the management of Government records.

2. By FY 2015, Agency Services will work with the Federal Chief Information Officer (CIO) Council, Federal Records Council, private industry, and other stakeholders to produce economically viable automated records management solutions and to encourage external involvement in the development of open source records management solutions.

3. By FY 2016, Agency Services will work to address the increased workload processing for public access to declassified documents generated by the NDC's expanding review efforts, the expansion of FOIA and Mandatory Declassification Review requests, and the increase in electronic records predicted for the near future.

Agency Services FY 2014 Budget Request

The FY 2014 budget request provides $44,374 thousand for Agency Services, an increase of +$143 thousand from the FY 2013 annualized CR level, a net of:

- *-$448 thousand and -2 FTE in savings from reprioritizing activities and spending.*

- *+$591 thousand for the FY 2014 pay raise and from increases in allocated costs of management and administration, including information technology.*

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, the Center for Legislative Archives, 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 2014 and future years:

- 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. If the records are later appraised as permanent, they could be seamlessly transferred into NARA's legal custody.

- 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 channel of choice is their mobile device. 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.

- 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.

Information Services Strategies and Actions

Information Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2014:

1. By FY 2014, Information Services will develop and maintain information systems that support access to our varied holdings so that our customers are able to quickly and easily find, access, and engage on-line with NARA electronic records and metadata using available technologies.

2. By FY 2014, Information Services will develop a strategy to assist NARA in effectively managing Federal government records throughout the lifecycle of records in an electronic form, including preservation, by providing effective transfer tools and architecture to support a data-in-place model minimizing the need to physically move the data.

3. By FY 2014, Information Services will improve storage management within the agency to segregate NARA internal, administrative files from electronic archival records and better manage access to and storage of both types of data.

Electronic Records Archives FY 2014 Budget Request

The FY 2014 budget request provides $29,676 thousand for the ERA system, a decrease of -$957 thousand from the FY 2013 annualized CR level, a net of:

- *-$4,000 for reduced corrective and adaptive software changes to ERA; partially offset by*

- *+$3,043 thousand to make ERA ready to migrate to a cloud computing environment.*

Funds requested for ERA in FY 2014 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.

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 2014 and future years:

- 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.

- NARA relies 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, which pay GPO for publication services through the GPO revolving fund.

Federal Register Strategies and Actions

In FY 2014, the Office of the Federal Register will work collaboratively with Information Services and Business Support Services to: provide a modern search engine and interface for all Federal Register electronic products; establish the electronic Code of Federal Regulations (CFR) as an official legal version of the CFR ; design customized information products and services that meet customer needs and expectations; systematically improve production processes and workflows by developing a web-based production system to publish all statutory publications and provide easy access to critical government information for the public.

Federal Register FY 2014 Budget Request

The FY 2014 budget request provides $11,489 thousand for the Office of the Federal Register, a increase of $150 thousand from the FY 2013 annualized CR level, for the FY 2014 pay raise and from increases in allocated costs of management and administration, including information technology.

Facility Operations
(Dollars in Thousands)

FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
$ 79,594	$ 80,926	$ 77,731

NARA's FY 2014 request for *Facility Operations* includes:

- $48,760 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 National Archives building in College Park, MD. $11,016 thousand is provided for interest payments and $17,955 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.

Business Support Services Strategic Direction

Facility Operations provides the physical infrastructure necessary to preserve NARA's holdings for future generations. Archived documents and artifacts must be maintained in a controlled environment with regulated 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 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, 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 2014 and future years:

- 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 has gained over one million cubic feet of newly-accessioned archival records since FY 2007, an increase of 30 percent, but has not seen an equivalent increase in space available for the storage of these records. NARA expects to receive at least 300,000 cubic feet of new archival records by the end of FY 2014, and lacks appropriate space in which to store these records. NARA is increasingly concerned that government-wide budget reductions will pressure other Federal agencies to accession

additional records ahead of schedule, exacerbating NARA's already critical space challenges.

- 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 media and box-level inventories.

Strategies and Actions

Business Support Services has adopted the following long-term performance goals to guide planning and resource allocations for FY 2014:

1. By FY 2020, Business Support Services will provide secure, resilient, and appropriate space for 100 percent of NARA's archival holdings.

2. 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 2014 Budget Request

The FY 2014 budget request provides $77,731 thousand for Facility Operations, a decrease of -$3,195 thousand from the FY 2013 annualized CR level, including the following:

- *-$3,195 thousand from capturing energy efficiency savings and improving management of contracts for the operations and maintenance of National Archives facilities in Washington, DC, and College Park, MD.*

National Archives and Records Administration

OFFICE OF INSPECTOR GENERAL

Fiscal Year 2014 Budget Request

CONTENTS

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,

$4,130,000.

Program Description

The Office of Inspector General (OIG) provides independent audits and investigations and serves as an independent, internal advocate to promote economy, efficiency, and effectiveness at 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)

	FTE	Budget Authority
FY 2012 Enacted level..	22.0	$ 4,100
FY 2014 Appropriation request...	22.0	4,130
Net Change..	0.0	$ 30

Summary of the Request

The FY 2014 budget requests $4,130 thousand and 22 FTE for the Office of Inspector General (OIG), an increase of $30 thousand from the FY 2012 enacted level. The requested increase provides for the FY 2014 pay raise (1%) and the annualization of the FY 2013 pay raise (0.5%). 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 $50 thousand for staff training in FY 2014, 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 (IT) 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 detection of procurement and white collar fraud. 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 2012 CIGIE contribution was $10,332. NARA expects to contribute approximately $11,729 for the CIGIE in FY 2014.

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 pages 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, procurement fraud, and inappropriate conduct of NARA employees and officials.

OIG auditors must review and evaluate multi-million dollar 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 would demand an entire team of auditors in other Federal agencies 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 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
Discretionary authority:			
Annual appropriation……………………………..	**$ 4,100**	**$ 4,125**	**$ 4,130**
Unobligated balance, expiring……………………….	-$ 128	$ 0	$ 0
Total obligations……………………………………..	**$ 3,972**	**$ 4,125**	**$ 4,130**
Net outlays	*$ 4,116*	*$ 4,117*	*$ 4,130*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
11.1 Full-time, permanent...	$ 2,462	$ 2,462	$ 2,519
11.5 Other personnel compensation............................	205	205	208
11.8 Special personal services payments....................	25	25	25
12.1 Civilian personnel benefits....................................	914	914	928
21.0 Travel and transportation of persons...................	35	40	40
22.0 Transportation of things..	1	2	2
24.0 Printing and reproduction.....................................	3	3	3
25.1 Advisory and assistance services........................	4	10	10
25.2 Other services from non-Federal sources...........	234	329	290
25.3 Other goods and services from Federal sources.	32	30	30
25.7 Operation and maintenance of equipment............	13	25	15
26.0 Supplies and materials...	20	40	20
31.0 Equipment...	24	40	40
32.0 Land and structures………………………..	0	0	0
41.0 Grants, subsidies, and contributions……………	0	0	0
43.0 Interest and dividends……………………………	0	0	0
99.0 Total obligations...	**$ 3,972**	**$ 4,125**	**$ 4,130**
Subtotal, PC&B..	*3,606*	*3,606*	*3,680*
Subtotal, non-labor...................................	*366*	*519*	*450*
Full-Time Equivalents (FTE)..............................	21.0	22.0	22.0

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National Archives and Records Administration

REPAIRS AND RESTORATION

Fiscal Year 2014 Budget Request and

Capital Improvements Plan

CONTENTS

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.

Program Description

This appropriation provides for the repair, alteration, and improvement of Archives facilities and Presidential Libraries nationwide. This appropriation allows 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

	Budget Authority
FY 2012 Enacted……………………………………………………………………	$ 9,100
FY 2014 Appropriation request…………………………………………………..	8,000
Net Change……………………………………………………………………	-$ 1,100

Summary of the Request

NARA requests $8 million for Repairs and Restoration of NARA-owned Federal buildings in FY 2014, 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.

The FY 2014 Repairs and Restoration appropriation provides for repairs and alterations of the 17 Federal buildings that NARA owns, operates, and maintains: National Archives buildings in Washington, DC, College Park, MD, and Atlanta, GA, and fourteen Presidential Libraries and Museums across the U.S., including the new George W. Bush Presidential Library in Dallas, TX, to be occupied in FY 2013.

NARA has two buildings listed on the National Register of Historic Places: the National Archives in Washington, DC, first occupied in 1935, and the Franklin D. Roosevelt Library in Hyde Park, NY, which was 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.

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.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
Unobligated balance carried forward………………	$ 33,653	$ 16,715	$ 9,000
Recoveries of prior-year obligations………………..	$ 165	$ 0	$ 0
Discretionary authority:			
Appropriation………………………………………	**$ 9,100**	**$ 9,156**	**$ 8,000**
Unobligated balance, available in future years…….	-$ 16,715	-$ 9,000	-$ 9,000
Total obligations………………………………..	**$ 26,203**	**$ 16,871**	**$ 8,000**
Net outlays	*$ 21,062*	*$ 28,806*	*$ 17,112*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
25.1 Advisory and assistance services………………	$ 1,174	$ 0	$ 0
25.2 Other services………………………………………	51	0	0
25.4 Operation and maintenance of facilities………..	1,496	0	0
26.0 Supplies and materials…………………………...	6	0	0
31.0 Equipment…………………………………………..	38	0	0
32.0 Land and structures………………………………..	23,438	16,871	8,000
99.0 Total obligations…………………………………	**$ 26,203**	**$ 16,871**	**$ 8,000**

FY 2014 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 facility managers. Projects estimated to cost in excess of $1.5 million are identified as major projects, included in the CIP, and 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.

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 a gift shop, cafeteria, auditorium, and office space for the George W. Bush Presidential Foundation and Institute. NARA will only assume responsibility for maintenance and repairs 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 Building Condition Report (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 relative to temperature, humidity and air
quality have changed considerably since the time of the original construction.

The Eisenhower Library Center 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 has been working on
replacing the systems that are in the most urgent need of replacement and cannot wait for the
larger renovation. In FY 2009 NARA awarded a contract to replace the Library air handling
units to bring them up to archival storage standards; in FY 2010 NARA awarded a contract to
replace the chillers; in FY 2011 NARA awarded a project to replace the boilers after one had
failed; in FY 2012 NARA awarded projects to replace the HVAC in the Place of Meditation,
repair the parking lots that have holes in the pavement, and re-point and repair the exterior
limestone at the library building.

A major project would allow NARA to take advantage of the fact that there are multiple buildings
and phase the renovation work building by building over two fiscal years but have the economy
of a single project rather than multiple contracts with multiple contractors. NARA recently
prepared an updated BCR to identify any additional repairs required since the previous (2006)
BCR. The updated BCR report (2011) indicates that – despite the large number of repairs
already completed – NARA cannot keep up with deteriorating building conditions by only
addressing urgent repairs.

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.

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 Architectural Design Standards for Presidential Libraries. NARA is currently performing an updated BCR to identify and quantify the current required repairs. In the meantime, NARA has awarded a design contract for HVAC replacement at the Library in anticipation of a construction project.

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. In FY 2012, NARA funded elevator repairs at both the Ford Library and the Ford Museum. The replacement of the elevators is currently underway. There are still many repairs required at the Ford Library. The scope of this project will be adjusted to only cover the HVAC and other building renovation items since these repairs are more critical than other, necessary repairs.

Carter Library Renovation (Design & Construction) – The Carter Library was built in 1986. NARA recently replaced many of the mechanical systems 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 project helped to bring some areas of the facility into compliance with current archival standards required by Architectural Design Standards for Presidential Libraries and to provide for more energy efficient equipment. NARA plans 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 poor condition, and NARA has initiated design of a replacement emergency generator. NARA anticipates funding the construction of a replacement emergency generator in FY 2013. There are still many repairs noted in the BCR.

Ford Library Parking Lot Expansion (Construction) – 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. This effort could be included with the project to perform the building renovation if funding was available and it would allow us to use the parking lot as staging for the renovations and make the repairs to the lot at the conclusion of the renovations.

Hoover Library Flood Control Work (Design) – Adjacent to the library building is a stream that overflows its banks when the West Branch, Iowa area experiences heavy rains. While there has never been a situation where flooding has occurred that directly 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. The current Architectural Design Standards for Presidential Libraries require that a library be 100 feet from and 5 feet above a flood plain or protected by supplemental means (flood wall or berm). 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. Several of the options developed in the study require work on National Park Service (NPS) land, so this project is being coordinated with the NPS.

Archives II Roof Replacement (Construction) – The original roof on the Archives II building was installed in 1992 during 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, NARA replaced a section of the administrative wing roof after roof leaks caused water damage and mold. NARA replaced another section of the roof in FY 2011 (over the research complex), and is replacing another section of roof in FY 2012. There are still several areas of the roof that require replacement and the roof is approaching the end of its anticipated life.

Truman Library Renovation (Design & Construction) – In the late 1990s, NARA renovated a portion of the Truman Library. At that time, there were areas that were not included in the renovations and the current archival storage standards had not been developed. 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). NARA is currently replacing the building security system and plans to clean ductwork that contains dirt and some mold in FY 2013. The areas that have not been renovated still need a renovation, and the previously renovated area needs to be revisited to bring it into compliance with current archival storage standards. Under the proposed renovation design, NARA would work to bring the entire building into compliance with the current Architectural Design Standards for Presidential Libraries.

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 25-year service life in FY 2014 and will require a major renovation. NARA is replacing some of these systems in connection with a Foundation-funded renovation of the museum space. NARA replaced some of the HVAC equipment, but only in areas disturbed by the renovation of the museum. There are still several areas of the building requiring renovations.

Archives II Replace Interior P/A System (Construction) – The interior paging system is the means by which NARA can immediately contact all employees in case of an emergency. The system was installed 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 to be replaced in the near future.

Archives II HVAC Renovations (Design & Construction) – Most major mechanical equipment has an anticipated service life of between twenty and thirty years. The HVAC system was installed in 1991 during the construction of the building. NARA needs to start planning for replacement of many of the Archives II HVAC system components.

Clinton Library Desiccant Drier Replacement (Construction) – 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 10 and 15 years before they need a major retrofit. The driers were installed in 2004 and will need to be replaced by 2019.

Archives II Chiller Plant Retrofit (Design & Construction) – Most mechanical equipment has an anticipated service life of 20 to 30 years depending on factors such as the original installation, the quality of maintenance, and the amount of use the equipment has had. Larger building systems, such as chillers, cooling towers, and boilers generally have a service life closer to 30 years. Most of the mechanical systems were installed in the early 1990s and, to meet archival storage conditions, require constant use. NARA has recently completed major repairs to the cooling tower and is currently replacing one of the chillers.

Archives I Replace Exterior Windows and Doors (Construction) – 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. NARA performed a BCR 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, MD, and Laguna Niguel, CA, NARA constructed an approximately 15,000 square foot archival storage addition to the library. In FY 2010, 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. NARA will prepare an updated BCR to determine the future needs for renovation for the remaining areas of the building.

Kennedy Library Seawall Repairs (Design & Construction) – 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), NARA must anticipate and plan for a renovation to the building.

Clinton Library Renovation (Design & Construction) – The Clinton Library was opened in 2004. By FY 2022, the building will be nineteen years old and it is anticipated that some renovation work will be needed to the building structure and systems.

National Archives and Records Administration

**NATIONAL HISTORICAL PUBLICATIONS
AND RECORDS COMMISSION GRANTS PROGRAM**

Fiscal Year 2014 Budget Request

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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

The National Historical Publications and Records Commission Grants Program provides for grants to preserve and publish non-Federal records that document American history. This appropriation supports core programs and initiatives in the form of grants to publish, preserve, and make accessible important historical documents.

Explanation of Changes
(Dollars in Thousands)

	Budget Authority
FY 2012 Enacted……………………………………………………………..	$ 5,000
FY 2014 Appropriation request……………………………………………………	3,000
Net Change……………………………………………………………………	-$ 2,000

Summary of the Request

The FY 2014 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 provide for grants to State, local, and tribal governments, educational institutions, and private, non-profit archives and records repositories to catalog, preserve, and make publicly available important historical documents. An additional $1,306 thousand in the NARA Operating Expenses appropriation provides for the salaries and expenses of administering the NHPRC grants program.

Strategic Direction

The NHPRC awards grants that encourage the collection, preservation, and publication of the papers of historically important citizens of the United States, and other documents provide a better understanding and appreciation of the history of the United States. NHPRC matching grants promote the identification, preservation, and dissemination of 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. NHPRC matching grants leverage Federal resources by requiring that at least an equal amount of funds come from non-Federal sources.

The NHPRC grant program proposed for FY 2014 includes:

- Customer-facing initiatives that provide public access to primary sources, including public records;
- Projects that employ innovative techniques that advance archival techniques, including those employed at NARA;
- Projects that preserve and make accessible large historical collections, including large data sets; and
- Projects that advance professional knowledge and techniques, including training and education programs for the information industry workforce.

Strategies and Actions

(1) *Innovation is a hallmark of the NHPRC's mission.* The Commission builds its grant programs on this principle, and annually supports projects that advance the education, techniques, and work flows of those professionals who engage in this work. Over the past decade, NHPRC grants have funded projects leading to innovations in electronic records research, on-line search techniques, mass digitization techniques, and the cost-effective preservation of historical documents. Innovations funded by NHPRC grants have enhanced the capability of institutions and individuals to serve as effective stewards of the nation's documentary heritage, and many have been considered groundbreaking developments and pioneering techniques. In FY 2014, the NHPRC will support projects that explore new, entrepreneurial uses of "old" data that often has remained hidden in archives. The NHPRC will look for opportunities to expand "Smart Disclosure" of archival and public records, where public discovery and repurposing of government data leads to economic and other benefits.

(2) *Collaboration and transparency are key drivers for NHPRC-funded initiatives.* Collaboration and transparency of results are key factors that the Commission uses to evaluate grant proposals and measure performance of grants awarded. This approach ensures that the resulting outcomes may be adopted by a wide range of institutions, and will lead to sustainable solutions. In FY 2014, the NHPRC will continue to use collaboration, measurable outcomes, and shared results as standards for evaluating grant proposals and measuring the performance of grant recipients.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
Unobligated balances carried forward………………	$ 735	$ 719	$ 719
Recoveries of prior-year obligations………………..	$ 413	$ 0	$ 0
Discretionary authority:			
Annual appropriation……………………………..	**$ 5,000**	**$ 5,031**	**$ 3,000**
Unobligated balance, available in future years……..	-$ 719	-$ 719	-$ 719
Total obligations…………………………………..	**$ 5,429**	**$ 5,031**	**$ 3,000**
Net outlays	*$ 9,761*	*$ 8,214*	*$ 8,839*

Obligations by Object Classification
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Annualized CR level	FY 2014 Request
41.0 Grants, subsidies, and contributions……………	$ 5,429	$ 5,031	$ 3,000
99.0 Total obligations………………………………..	**$ 5,429**	**$ 5,031**	**$ 3,000**

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National Archives and Records Administration

SPECIAL FUNDS

Fiscal Year 2014 Budget Request

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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. 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 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)

	FTE	Obligations
FY 2013 Current..	1,384.0	$ 189,500
FY 2014 Budget...	1,384.0	189,872
Net Change..	0.0	$ 372

Total obligations for FY 2014 are estimated at $189,872 thousand. This represents a net increase of $372 thousand from FY 2013 estimated obligations. NARA Federal Records Centers (FRC) store over 28.4 million cubic feet of Federal government records that are not ready to be transferred to NARA's legal custody. 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 that no longer have current or historical value, and transfer into archival custody records with permanent historical value. FRCs also provide technical assistance and advice on records maintenance, storage, and disposition.

Income/Cost Comparison
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Current	FY 2014 Budget
Revenue..	$ 185,312	$ 185,448	$ 188,415
Expenses...	182,886	184,476	187,243
Net Operating Results....................................	**$ 2,426**	**$ 972**	**$ 1,172**

Obligations by Object Classification

(Dollars in Thousands)

		FY 2012 Actual	FY 2013 Current	FY 2014 Budget
11.1	Full-time, permanent..	$ 51,148	$ 51,276	$ 51,789
11.3	Other than full-time permanent............................	9,265	9,288	9,358
11.5	Other personnel compensation............................	2,531	2,544	2,544
11.8	Special personal services payments...................	19	19	19
12.1	Civilian personnel benefits....................................	18,401	18,453	18,638
13.0	Benefits for former personnel..............................	196	196	196
21.0	Travel and transportation of persons...................	1,276	598	598
22.0	Transportation of things..	3,493	3,495	3,495
23.1	Rental payments to GSA.......................................	43,677	44,738	43,872
23.2	Rental payments to others....................................	10,904	11,013	11,123
23.3	Communications, utilities, and misc. charges....	5,188	5,240	5,290
24.0	Printing and reproduction.....................................	118	120	120
25.1	Advisory and assistance services........................	2,797	2,825	2,850
25.2	Other services from non-Federal sources..........	1,560	1,570	1,570
25.3	Other goods & services from Federal sources...	12,554	12,815	12,900
25.4	Operation and maintenance of facilities..............	777	645	645
25.7	Operation and maintenance of equipment..........	13,912	14,050	14,150
26.0	Supplies and materials...	1,563	1,580	1,590
31.0	Equipment...	8,946	9,035	9,125
32.0	Land and structures..	366	0	0
99.0	**Total obligations..**	**$ 188,691**	**$ 189,500**	**$ 189,872**
	Subtotal, PC&B..	*81,560*	*81,776*	*82,544*
	Subtotal, non-labor....................................	*107,131*	*107,724*	*107,328*
	Full-Time Equivalents (FTE)..............................	1,382.0	1,384.0	1,384.0

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 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. FY 2013 receipts and outlays include a gift from the George W. Bush Foundation to establish an endowment pursuant to 44 USC 2112(g) providing for the maintenance of the new G.W. Bush Library facility.

Explanation of Changes
(Dollars in Thousands)

	Obligations
FY 2013 Current...	$ 11,846
FY 2014 Budget...	2,598
Net Change...	-$ 9,248

Total obligations for FY 2014 are estimated at $2,598 thousand, a decrease of -$9,248 thousand compared to FY 2013 estimated obligations. FY 2013 obligations include the one-time receipt and investment of approximately $9 million to establish an endowment for the new George W. Bush Presidential Library Endowment in FY 2013.

In accordance with 44 USC § 2112(g), the private George W. Bush Foundation will donate an amount equal to 20 percent of the cost of the Library facility. NARA will invest this endowment in funds outside the Treasury. Income from the endowment will be used to partially offset the costs of facility operations.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Current	FY 2014 Budget
Unobligated balance, start of year	$ 2,518	$ 2,221	$ 1,590
Recoveries of prior year unpaid obligations	$ 28	$ 0	$ 0
Budget authority:			
Mandatory appropriation....................................	**$ 6,734**	**$ 11,215**	**$ 2,516**
Unexpired unobligated balance, end of year	-$ 2,221	-$ 1,590	-$ 1,508
Total obligations...	**$ 7,059**	**$ 11,846**	**$ 2,598**
Net outlays	*$ 4,339*	*$ 14,471*	*$ 2,586*

Obligations by Object Classification
(Dollars in Thousands)

		FY 2012 Actual	FY 2013 Current	FY 2014 Budget
21.0	Travel and transportation of persons...................	108	105	105
22.0	Transportation of things......................................	7	10	10
23.3	Communications, utilities, and misc. charges....	1	0	0
24.0	Printing and reproduction....................................	12	18	23
25.2	Other services from non-Federal sources..........	250	253	214
25.3	Other goods & services from Federal sources...	84	0	0
26.0	Supplies and materials..	52	54	55
31.0	Equipment..	99	39	75
32.0	Land and structures...	5,083	213	0
33.0	Investments...	831	10,562	1,224
94.0	Financial Transfers..	532	592	892
99.0	**Total obligations..**	**$ 7,059**	**$ 11,846**	**$ 2,598**

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 the National Archives Trust Fund (44 U.S.C. §§ 2112, 2307).

Program Description

The National Archives Trust Fund receives and disburses funds collected from sales to the public, including: reproductions of records, magazines and publications, and merchandise. Additionally, the Trust Fund collects royalties from partnership agreements, investment income, admission fees to Presidential Library museums, and reimbursements from other Federal agencies for records management training and workshops for Federal employees and contractors.

Reproduction of Records: The Trust Fund provides for sales to the public of reproductions of all varieties of records, including documents, photographs, maps, motion pictures, and ADP tapes.

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.

Sales of Publications and Merchandise: The Trust Fund supports e-Commerce sites for the Presidential Libraries and provides for the operation of several Library museum stores in facilities across the country.

Sales of Prologue Magazine: The Trust Fund supports the printing and distribution of Prologue magazine, a publication that presents stories based on the rich holdings and programs of the National Archives across the nation.

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

Investment Income: The Trust Fund invests excess revenues from sales as well as donations, in accordance with statutory authority of the National Archives Trust and Gift Funds. The income earned on investments is used to support National Archives programs.

Fees for Archival and Records Management Training: The Trust 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.

Explanation of Changes
(Dollars in Thousands)

	FTE	Obligations
FY 2013 Current..	111.0	$ 17,251
FY 2014 Budget..	111.0	16,301
Net Change...	0.0	-$ 950

Total obligations for FY 2014 are estimated at $16,301 thousand, a net decrease of -$950 thousand from FY 2013 estimated obligations. The majority of the decrease is attributable to the conclusion of a State Department project to preserve and digitize the Iraqi Jewish Archives.

Amounts Available for Obligation
(Dollars in Thousands)

	FY 2012 Actual	FY 2013 Current	FY 2014 Budget
Unobligated balance, start of year	$ 6,035	$ 8,544	$ 8,644
Recoveries of prior year unpaid obligations	$ 524	$ 0	$ 0
Budget authority:			
New spending authority collected……………………...	$ 18,757	$ 17,351	$ 16,493
Change in uncollected payments…………………	-$ 1,125	$ 0	$ 0
Mandatory appropriation.......................................	**$ 17,632**	**$ 17,351**	**$ 16,493**
Unexpired unobligated balance, end of year	-$ 8,544	-$ 8,644	-$ 8,836
Total obligations...	**$ 15,647**	**$ 17,251**	**$ 16,301**
Net outlays	*-$ 2,938*	*$ 0*	*$ 0*

Obligations by Object Classification

(Dollars in Thousands)

		FY 2012 Actual	FY 2013 Current	FY 2014 Budget
11.1	Full-time, permanent...	$ 4,307	$ 4,705	$ 4,545
11.3	Other than full-time permanent............................	1,043	1,130	1,091
11.5	Other personnel compensation............................	183	210	203
12.1	Civilian personnel benefits...................................	1,601	1,678	1,589
13.0	Benefits for former personnel..............................	8	10	9
21.0	Travel and transportation of persons...................	249	249	249
22.0	Transportation of things.......................................	195	224	262
23.2	Rental payments to others...................................	33	38	39
23.3	Communications, utilities, and misc. charges....	117	101	103
24.0	Printing and reproduction.....................................	388	409	494
25.1	Advisory and assistance services.......................	83	97	79
25.2	Other services from non-Federal sources..........	2,019	2,161	1,822
25.3	Other goods & services from Federal sources...	2,090	2,349	2,474
25.4	Operation and maintenance of facilities..............	47	37	30
25.7	Operation and maintenance of equipment..........	276	330	269
26.0	Supplies and materials...	1,429	2,023	1,636
31.0	Equipment...	433	523	423
33.0	Investments...	1,146	977	984
99.0	**Total obligations...**	**$ 15,647**	**$ 17,251**	**$ 16,301**
	Subtotal, PC&B...	*7,142*	*7,733*	*7,437*
	Subtotal, non-labor...................................	*8,505*	*9,518*	*8,864*
	Full-Time Equivalents (FTE)................................	108.0	111.0	111.0

FISCAL YEAR 2014

ANNUAL PERFORMANCE PLAN

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NATIONAL
ARCHIVES

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Submitted to Congress
April 10, 2013

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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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, accessions, 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 2013. It details the actions and outcomes that must occur in FY 2014 for us to move forward on meeting the goals and targets in our Strategic Plan. 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 *2014 Cuts, Consolidations, and Savings (CCS) Volume of the President's Budget* identifies the lower-priority program activities, where applicable, as required 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.

In February 2014, we will release a new Strategic Plan that refocuses our work and realigns the work identified in this plan under new strategic goals and initiatives.

Following is a summary of the resources, by budget authority, we are requesting to meet our FY 2014 objectives. Our budget is linked to the performance goals in this plan.

Operating Expenses	**$352,751**
Office of Inspector General	**$4,130**
Repairs/Restorations	**$8,000**
Grants	**$3,000**
Total Budget Authority	**$367,881**
Redemption of Debt	**$17,955**
Total Appropriation	**$385,836**
Total FTE	**3,207**

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.

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 2014 road map for meeting the great expectations of our nation.

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**

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.

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

FY 13 Estimated Performance

- Conduct 2 records management inspections.

FY 14 Projected Performance

- Agency self-assessment responses achieve a 85 percent response rate.

- 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 —transparency, participation, and collaboration—found in the OPEN Government Directive, issued by the Obama Administration in December 2009. Effective records management improves performance and promotes openness and accountability. Records management is key to the success of open government and ensuring that the public has access to permanently valuable records.

In FY 2012, the President tasked NARA to develop a framework for modernizing the management of Government records. The task was outlined in a Presidential Memorandum entitled *Managing Government Records.* This memorandum marked the start of an executive branch-wide effort to reform records management policies and practices in the Federal government with specific emphasis on managing electronic records.

Records management must stay abreast of the technologies used to create records in the Federal government, and the President's Memorandum underlines the critical nature of this responsibility. While technological advances create opportunities and challenges for agency records management, agencies'

increased reliance on electronic systems and communication highlights the urgency to modernize policies and practices.

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   In August 2012, the Director of OMB and the Archivist of the United States issued the *Managing Government Records Directive*, laying out the response to the tasks identified in the November 2011 Presidential Memorandum, *Managing Government Records*. This Directive creates a robust records management framework that complies with statutes and regulations to achieve the benefits outlined in the Presidential Memorandum. It addresses specific actions that will be taken by NARA, the Office of Management and Budget (OMB), and the Office of Personnel Management (OPM) to support agency records management programs.

We routinely monitor and assess the state of Federal records management programs through mandatory self-assessments that we issue to Federal agencies. The data highlights a continuing trend of agencies with moderate to high levels of risk in their Federal records management programs. However, the *Managing Government Records Directive* raises the visibility and accountability of records management. The directive specifies the need for and the responsibilities of a Senior Agency Official (SAO) whose responsibilities include ensuring that their respective agency or department complies with all applicable records management statutes, regulations, NARA policy, and the requirements of the Directive. The SAO role also includes establishing agency-wide records management training and ensuring that all agency records are scheduled for retention and disposition. This level of attention allows us to move the self-assessment to every other year while each SAO will begin to annually report on agency progress to reform and improve records management policies and practices within their agency to the Federal government's Chief Records Officer.

Our goal is to continue to address ways to decrease the risks to Federal records and improve agency records management practices. While we continue to conduct inspections, we will investigate analytical tools and approaches to evaluate the effectiveness of records management programs, measure program compliance more effectively, assess risks, and assist in agency decision-making.

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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for percent of agencies who submit records management self-assessments to NARA.		*50*	*93*	*93*	*—*	*85*
Percent of agencies who submit records management self-assessments to NARA.	91	93	89	85		
Performance target for percent of agencies with passing scores for compliance with Federal records management policy.	*—*	*—*	*15*	*10*	*—*	*15*
Percent of agencies achieving passing scores for compliance with Federal Records management policy.	22	6	10	TBD		

Milestones
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
- Agency self-assessment of their records management program conducted.
- Two agency inspections conducted.
- Presidential Memorandum, *Managing Government Records*, issued.

FY 2013 Estimated
- Two agency inspections conducted.

FY 2014 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.

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

FY 13 Estimated Performance
- Increase by 10 percent the number of distance learning course offerings.

- Achieve closure of 40 percent of open records schedules registered in FY 2010 or earlier.

FY 14 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.

- Achieve closure of 65 percent of open records schedules registered in FY 2011 or earlier.

- Create new email guidance.

- Revise NARA transfer guidance for permanent electronic records.

- Establish a formal records management occupational series.

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 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 Customer satisfaction is key to NARA's success and crucial to the records management services NARA provides. Our success in providing agencies with the records management tools they need is the basis for evaluating our 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.

Properly managed records can be used to assess the impact of programs, improve business processes, and share knowledge across the Government. However, years of technological advances have transformed agency operations, creating both challenges and opportunities for agency records management. Greater reliance on technology has significantly increased the volume and diversity of information that agencies manage. It is critical that NARA update policies and practices to reduce risks of increased costs and lost

records when records are not appropriately managed. NARA will work with customers and stakeholders both internal and external to the Government to modernize the management of Government records.

NARA will work with Senior Agency Officials to advocate records management and monitor progress in implementing the goals identified in the *Managing Government Records Directive.* In addition, NARA will establish a Community of Interest (COI) in cooperation with the Federal Chief Information Officers Council, the Federal Records Council, and other Federal councils, to bring together leaders from information technology, legal counsel, and records management communities to solve specific records management challenges. In coordination with OPM, we will work to establish a formal records management occupational series which will help to promote the professional role of records managers across the Federal government. Collaboration with our customers and stakeholders is key to the success of ensuring that the records that protect citizen's rights, hold the Government accountable for its actions, and document the history of our nation are preserved and accessible throughout time.

As our nation's recordkeeper, NARA's own records management program should be a model of excellence in the Federal community and beyond. NARA aims to be known as a leading practitioner, successful in meeting all records management requirements and in solving the difficult challenges posed by emerging electronic media. Our Corporate Records Management office, Chief Operating Officer, Chief Records Officer, and every NARA business unit will collaborate to achieve this outcome. In 2012 NARA established the Records and Information Management Network, where NARA's Information Management Officers and Records Custodians use web-based tools to execute records management processes such as populating and maintaining a central records inventory database, populating forms and checklists for analyzing record value, etc. We are using information technology tools to bolster collaboration and communications and help modernize our Corporate Records Management program to maximize its effectiveness. This work will benefit NARA and other Federal agencies as we work closely with the Chief Records Officer to share our experiences and inform Government-wide guidance, training, and tools.

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

Verification and Validation

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Percent of Federal agency customers that are highly satisfied with NARA records management services.	*85*	*—*	*—*	*90*	*—*	*90*
Percent of Federal agency customers that are highly satisfied with NARA records management services.	81	—	—	81		
Percent of records management training participants taking a NARA records management course for the first time.	63	36	34	26		
Number of records management training participants who are taking a NARA records management course for the first time.	7,625	2,619	1,913	990		
Performance target for percent increase in the number of distance learning course offerings.	*—*	*5*	*5*	*25*	*10*	*10*
Percent increase in the number of distance learning course offerings.	—	133	-43	156		
Number of distance learning course offerings.	—	28	16	41		
Number of Federal agency staff receiving NARA training in records management and electronic records management.	12,114	7,233	5,971	3,772		

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Number of records management training participants that NARA certified this year.	242	282	338	347		
Average age of schedule items completed (in calendar days).	307	285	709	672		
Number of schedule items completed.	3,248	3,670	5,058	3,498		
Performance target for percent decrease in the number of open schedules two years old or older.	—	—	—	*5*	*40*	*65*
Percent decrease in the number of open schedules two years old or older.	—	—	—	85		
Number of open schedules in the backlog.	962	884	724	535		

Milestones

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
- At least two courses revised to reflect new NARA initiatives (e.g. ARCIS, ERA).
- Customer Satisfaction Survey issued and results analyzed.

FY 2013 Estimated
- Skill needs analysis of customer agencies conducted.
- Conversion of knowledge area classes to online delivery initiated.

FY 2014 Projected
- New email guidance created.
- NARA transfer guidance for permanent electronic records revised.
- Formal records management occupational series established.

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.

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

FY13 Estimated 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 80 percent of written requests to the National Personnel Records Center within 10 working days.

- Achieve 90 percent customer satisfaction in servicing veterans' records at NPRC.

- Answer 95 percent of requests for separation documents from the military personnel records facility in 10 working days or less.

	• Acquire Customer Relationship Management Software for FRCP.

FY 14 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 80 percent of written requests to the National Personnel Records Center within 10 working days.

- Achieve 90 percent customer satisfaction in servicing veterans' records at NPRC.

- Answer 95 percent of requests for separation documents from the military personnel records facility in 10 working days or less.

- Implement Customer Relationship Management Software for FRCP.

- Receive 60 percent of reference request transactions through the ARCIS portal.

- Deploy updated eVetrecs application.

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   NARA's Federal Records Center Program (FRCP) is 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.   Customer satisfaction is critical to business success. 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, agencies seeking the FRCP to service electronic records continue to grow. In response, we have piloted and tested a variety of electronic records services. Additionally, in FY 2014, we will update our eVetRecs application to improve usability and increase customer satisfaction.

Customer demand for records management consulting services has also increased. Agencies require assistance from the FRCP to convert hard copy records to digital form and to manage their electronic records. Although the FRCP business has been to primarily service physical records for storage in a warehouse environment, these trends drive NARA to expand its business and offer both traditional and new services to our customers. To assist customers in meeting their records management needs, we will expand our management of physical records to include all phases of records management, offer digital conversion services, and service electronic records.

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 agencies' records management issues. Tools such as CRM will allow the FRCP to capture marketing leads, effectively track business transactions, and be instrumental in improving our understanding of clients' business needs.

The Archives and Records Center Information System (ARCIS), a web-based application for all FRCP business transactions, provides a robust inventory and space management system for more than 27 million cubic feet of records. 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. With ARCIS now deployed at each of our regional records center facilities, we experience increased customer demand to submit business transactions electronically. We will work with agencies to increase agency use of the portal for transfer transactions.

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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for percentage point of records management transactions growth in the Federal Records Centers.	—	*1*	*1*	*1*	*1*	*1*
Percent of records management transactions growth in the Federal Records Centers.	—	2.3	1.6	1.1		
Performance target for percent of customers satisfied with NPRC servicing veterans' records.	—	—	—	—	*90*	*90*
Percent of customers satisfied with NPRC servicing veterans' records.	—	—	—	—		
Performance target for percent of Federal agency reference requests ready within the promised time.	*97*	*97*	*98*	*98*	*95*	*95*
Percent of Federal agency reference requests ready within the promised time.	94	97	95	95		
Performance target for percent of written requests to the National Personnel Records Center answered within 10 working days.	*80*	*80*	*80*	*85*	*80*	*80*
Percent of written requests to the NPRC answered within 10 working days.	69	69	77	74		
Number of written requests to the NPRC answered within 10 working days (in thousands).	845	908	846	717		

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands).	94	76	25	29		
Number of written requests for military records to the NPRC answered within 10 working days (in thousands).	751	833	821	688		
Number of written requests to the NPRC answered (in thousands).	1,221	1,320	1,094	974		
Performance target for (average) number of working days to respond to requests for military personnel records.	—	*15*	*10*	*10*	*10*	*10*
(Average) Number of working days to respond to request for military personnel records.	17.5	17.4	11.7	10		
(Average) Number of working days to respond to request for civilian personnel records.	9.9	10.5	9.0	6.7		
Performance target for requests for military service separation records at the NPRC answered within 10 working days.	—	—	—	—	*95*	*95*
Percent of requests for military service separation records at the NPRC answered within 10 working days.	95	94	93	92		
Number of military service separation records (DD-214) requests answered in 10 working days (in thousands).	546	524	445	429		
Performance target for percent of reference requests transactions received through ARCIS.	—	—	—	—	—	*60*
Percent of reference requests transactions received through ARCIS.	—	—	—	—		

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.

FY 2011
- Customer portal in ARCIS expanded to include records transfer, user management, and access control capabilities.

FY 2012
- *Case Management and Reporting System* (*CMRS*) upgraded.
- NPRC's registry files migrated into ARCIS and integrated with CMRS.

FY 2013 Estimated
- Customer relationship management software for FRCP purchased.

FY 2014 Projected
- Customer relationship management software for FRCP deployed.
- Updated eVetrecs application that features electronic signature functionality deployed.

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

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.

FY 13 Estimated Performance
- Reference Long Range Performance Target 2.2 for future milestones.

FY 14 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.

<u>**Verification and Validation**</u>

Milestones

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 <u>Inventory:</u> a listing of the volume, scope, and complexity of an organization's records.

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.

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

FY 13 Estimated Performance
- 35 percent of annually targeted traditional archival records transfers arrive at NARA each fiscal year.

- 35 percent of annually targeted electronic archival records transfers arrive at NARA each fiscal year.

FY 14 Projected Performance
- 37 percent of annually targeted traditional archival records transfers arrive at NARA each fiscal year.

- 37 percent of annually targeted electronic archival records transfers arrive at NARA each fiscal year.

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. 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 require agencies to use ERA and, where feasible, to ingest permanent electronic records directly into ERA. 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. If agencies transfer permanent electronic records to NARA when the agencies' business needs for the records have been met, as outlined in the CFR, and 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.

<u>**Verification and Validation**</u>

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for percent of annually targeted traditional archival records transfers arriving at NARA each fiscal year.	*20*	*30*	*40*	*30*	*35*	*37*
Percent of transfers of targeted traditional archival records arriving at NARA each fiscal year.	6	24	19	—		
Performance target for percent of annually targeted disposition authorities with electronic archival records arriving at NARA each fiscal year.	*20*	*30*	*40*	*30*	*35*	*37*
Percent of targeted disposition authorities with electronic archival records arriving at NARA each fiscal year.	44	35	26	37		

The process for capturing this data is being redesigned.

APP-13

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 13 Estimated Performance • Process 65 percent of archival holdings to the point where researchers can have efficient access to them.

FY 14 Projected Performance • Process 70 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, reassigned staff to processing, implemented processing plans customized to some archives locations, and have been working to creatively re-envision our processing and description workflow to ensure that we eliminate our backlog while continuing to process incoming records.

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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for percent of archival holdings that have been processed to the point where researchers can have efficient access to them.	*40*	*50*	*55*	*60*	*65*	*70*
Percent of archival holdings that have been processed to the point where researchers can have efficient access to them.	41	47	53	60		

Milestones

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
- Additional archival staff hired.

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

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

FY 13 Estimated Performance
- Achieve 90 percent or higher rate of agency declassification programs receiving high scores as assessed by ISOO.

FY 14 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 2014 will be determined in large measure by the findings of previous 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

Performance Data	**FY 2009**	**FY 2010**	**FY 2011**	**FY 2012**	**FY 2013**	**FY 2014**
Performance target for percent of agency declassification reviews that receive high scores as assessed by ISOO.	*51*	*69*	*80*	*90*	*90*	*90*
Percent of agency declassification reviews that receive high scores as assessed by ISOO.	53	67	81	94		
Number of agency declassification reviews that receive high scores as assessed by ISOO.	10	10	13	15		
Number of agency declassification reviews assessed by ISOO.	19	15	16	16		

Milestones

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
- 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 Estimated
- 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.

FY 2014 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 (*www.archives.gov/isoo/reports/*).

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.

FY 13 Estimated Performance
- Complete quality assurance in the NDC on 300 million backlog pages of classified documents 25 years old and older and accessioned into NARA (Note: cumulative target for records accessioned prior to Jan 2010).

- Prepare for scanning 750,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture project.

FY 14 Projected Performance
- Complete quality assurance in the NDC on remaining backlog pages of classified documents 25 years old and older and accessioned into NARA (Note: cumulative target for records accessioned prior to Jan 2010).

- Complete quality assurance on 20 million pages of classified documents 25 years old and older and accessioned to NARA since January 2010.

- Prepare for scanning 750,000 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 estimated at the beginning of January 2010 at nearly 400 million pages of Federal records in the National Archives at College Park. 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 Executive Order 13526, NARA was charged with establishing the National Declassification Center (NDC) as a government-wide inter-agency center to streamline needlessly complex or redundant declassification processes, facilitate quality assurance measures in inconsistently reviewed national security sensitive records, and implement standardized training regarding the declassification of records determined to have permanent historical value. 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 retains physical and intellectual control of millions of classified records that have been transferred to us. We prioritize the order in which referrals are processed so as to deal with records of high research interest in a timely manner. We assess the levels of review that have previously been applied to these records and determine the actions that need to be taken on record series to proved appropriately declassified records to the public in as short a time as possible while maintaining national security. The NDC has established standard operating procedures for assessing, evaluating and quality reviewing these records as well as standardized the method for recording agency decisions. Standardization of agency review decisions ensures that when the NDC staff process the records for release or exemption, the agency determination will be clearly understood and NARA will avoid both inadvertently releasing sensitive information and mistakenly withholding records no longer sensitive.

The Presidential Memorandum associated with this Executive Order established a December 31, 2013, deadline for the treatment of all 400 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 359 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 Data 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.

To ensure that records released to the public have been properly declassified, the NDC has established Evaluation (Sampling)Teams, Kyl Evaluation Teams (page-level review), 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.

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 25-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 is a significant challenge at the Reagan Library where the Library has approximately eight 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 has identified primary equities, prepared pages for scanning, and has scanned records at the Reagan Library; however, more than four million pages from the Reagan and George H.W. Bush administrations remain for primary equity identification and preparation for scanning into the RAC project by 2018.

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

With our other government agency partners, we continue to devote resources to assist the Department of Energy (DOE) in surveying and auditing records to ensure that no RD/FRD information is inadvertently released.

Our work to analyze and improve data as it is reported in NARA systems, issues with locating records and efforts to develop 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 declassification processing and 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.

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

Verification and Validation

Performance Data	**FY 2009**	**FY 2010**	**FY 2011**	**FY 2012**	**FY 2013**	**FY 2014**
Backlog of pages of Federal records eligible for declassification review at start of year (in thousands of pages).*	—	408,000*	389,264	370,862	366,297	
Backlog of pages of Presidential materials at start of year (in thousands of pages).	127	127	5,848	5,018	5,018	
Performance target for the number of pages of classified documents 25 years old and older and accessioned into NARA completing quality assurance in the National Declassification Center (NDC) (in thousands).	*11,000*	*12,100*	*100,000*	*251,000*	*300,000*	*TBD*
Number of pages of classified documents 25 years old and older and accessioned into NARA completing quality assurance in the National Declassification Center (NDC) (in thousands).	—	16,445	89,384	185,486		
Annual number of Federal pages declassified and released to open shelves (in thousands).	12,986	7,092	17,877	45,867		
Annual number of Presidential pages declassified	198	305	107	222		

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
(in thousands).						
Performance target for annual number of Presidential pages prepared for scanning (in thousands).	*—*	*—*	*—*	*—*	*750*	*750*
Annual number of Presidential pages prepared for scanning (in thousands).	—	—	—	192		
Performance target for annual number of Presidential pages scanned (in thousands).	*500*	*500*	*500*	*700*	*—*	*—*
Annual number of Presidential pages scanned (in thousands).	545	531	831	79		

* For FY 2010 performance results and beyond, the start of year backlog is based on the 25-years-old or older classified Federal records accessioned prior to January 1, 2010, in response to Executive Order 13526, issued December 29, 2009. It excludes additional classified records received since then.

Milestones
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.
- Quality assurance of a cumulative 108 million pages of 25-years-old or older classified Federal records accessioned into NARA completed for declassification processing.
- Study to define NDC's IT needs (i.e. whether classified instance of HMS, ADRRES, or ERA) conducted.

FY 2012
- Approximately 79,000 pages of classified Reagan Presidential records for declassification review by equity holding agencies scanned.
- Quality assurance of a cumulative 200 million pages of 25-years-old or older classified Federal records accessioned into NARA completed for declassification processing.
- Approximately 86 million pages of 25-years-old or older classified Federal records accessioned into NARA completed processing for declassification or proper exemption, and 52 million pages made available to the public.

FY 2013 Estimated
- Approximately 750,000 pages of classified Reagan Presidential records prepared for declassification review by equity holding agencies.
- Assessment of all backlog pages completed.
- Quality assurance of a cumulative 300 million pages of 25-years-old or older classified Federal records accessioned into NARA prior to January 2010 completed for declassification processing.

FY 2014 Projected
- Approximately 750,000 pages of classified Reagan Presidential records prepared for declassification review by equity holding agencies.
- Quality assurance of remaining pages from backlog of 25-years-old or older classified Federal records accessioned into NARA prior to January 2010 completed for declassification processing.
- Quality assurance on 20 million pages of classified documents 25-years-old or older and accessioned into NARA since January 2010.
- 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.

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

FY 13 Estimated Performance

- 83 percent of archival holdings are in NARA 1571 compliant space.

- Complete the collections storage and exhibit space renovations portion of the second phase of the Roosevelt Library renovations.

- Open George W. Bush Library to the public.

- Complete National Archives Experience Phase II infrastructure renovations to Freedom Hall (David M. Rubenstein Gallery).

FY 14 Projected Performance

- 85 percent of archival holdings are in NARA 1571 compliant space.

- Complete second phase of Roosevelt Library renovations.

- Complete infrastructure renovations for National Archives Experience Phase II.

- Achieve LEED GOLD certification for the National Archives at College Park.

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 National Archives at 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. As NARA implements

new Energy Savings programs, we will look for cost effective opportunities to also benefit NARA space for holdings.

The National Archives Experience Phase II is a project to create space for a new exhibit gallery, *Freedom Hall* (David M. Rubenstein Gallery), at the National Archives Building in Washington, DC. This gallery will create the opportunity for visitors to connect our country's 18th 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 2013 and FY 2014, 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.

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 was in FY 2012. Phase 2 on site renovation began after the completion of Phase 1 renovation work.

We will add the new George W. Bush Presidential Library to our inventory of owned Federal buildings in FY 2013. The new facility, located on the campus of Southern Methodist University in Dallas, TX, constructed with George W. Bush Presidential Foundation funds, will provide 60,972 usable square feet (USF) of space to NARA, which will include: permanent and temporary exhibits (museum), storage for nontextual holdings, storage for textual holdings, artifact storage, processing areas, and staff offices. Approximately 80,000 USF will be managed by the Foundation.

Key external factors   Public, White House, and Congressional support for our space planning activities is vital to develop and implement proposed plans. The number of cubic feet transferred to the National Archives by Federal agencies.

Verification and Validation

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for percent of NARA archival holdings in appropriate space.	—	—	—	*85*	*83*	*85*
Percent of NARA archival traditional holdings in appropriate space.	70	71	78	94		
Number of archival traditional holdings (in thousands of cubic feet).	3,937	4,043	4,248	4,482		
Percent of artifact holdings in appropriate space.	37	40	40	40		
Number of artifact holdings (in thousands).	628	600	600	600		
Percent of electronic holdings in appropriate space.	—	100	100	100		
Number of electronic holdings in appropriate space (in terabytes).*	—	110	156	515		
Cost of archival storage space per cubic feet of traditional holdings stored.	$5.83	$6.16	$7.19	$6.64		
Cumulative volume of archival holdings in cold storage (thousands of cubic feet).	93	94	97	98		

Milestones

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
- 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
- Construction of 1571 improvements for Chicago and Seattle completed.
- Construction of Bush 43 Library monitored.
- Construction of first phase of Roosevelt Library renovation completed.
- Construction of second phase of Roosevelt Library renovation awarded.
- Construction of Kennedy Library addition and renovation completed.
- Move of artifacts from off-site storage to Kennedy Library completed.
- National Archives Experience Phase II renovations to the research center completed.
- Construction of archival space at the new Denver facility completed.

FY 2013 Estimated
- Move of archival holdings from the St. Louis-area facilities to National Personnel Records Center facility completed.
- Portion of the second phase of the Roosevelt Library renovations, collection storage and exhibit space construction, completed.
- Construction of archival storage space at Philadelphia FRC completed.
- Construction of Bush 43 Library completed.
- Occupancy and dedication of George W. Bush Library completed.
- National Archives Experience Phase II infrastructure renovations to the exhibit hall completed.
- Construction and renovation of NARA space at the Alexander Hamilton U.S. Custom House completed.

FY 2014 Projected
- National Archives Experience Phase II infrastructure renovations completed.
- LEED GOLD certification for the National Archives at College Park achieved.

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.

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

FY 13 Estimated Performance
- 90 percent of NARA's non-archival holdings are in appropriate space.

FY 14 Projected Performance
- 100 percent of NARA's non-archival holdings are in appropriate space.

Outcome   Agency records are preserved for as long as needed.

Significance   Providing appropriate physical and environmental storage conditions are 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.

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

Verification and Validation

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for percent of NARA records center holdings stored in appropriate space (target 85% by 2012).	*100*	*—*	*85*	*85*	*90*	*100*
Percent of NARA records center holdings stored in appropriate space.	—	59	65	80		
Volume of records center holdings (cubic feet in millions).	27.2	27.8	27.9	28.2		
Storage price per cubic foot for records center holdings.	$2.40	$2.52	$2.52	$2.64		

Milestones

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

FY 2013 Estimated
- Move of holdings slated for the National Personnel Records Center completed.
- Move of records center holdings into newly leased Denver facility completed.
- Construction contract for upgrades at San Bruno records storage facility for compliance with CFR standards awarded.
- New facility space to store IRS records in Kansas City area available.

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.

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

FY 13 Estimated Performance
- Appropriately treat 65,000 cubic feet of NARA's archival holdings requiring preservation action.

- Deploy Holdings Management System (HMS) in National Personnel Records Center and the National Archives at Denver.

- Conduct preservation reviews at six NARA locations.

FY 14 Projected Performance
- Appropriately treat 65,000 cubic feet of NARA's archival holdings requiring preservation action.

- 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.

NARA has surveyed its holdings and determined that approximately 55 percent of NARA's textual and non-textual records will need preservation action over time. Despite significant increases in the quantity of archival holdings, NARA continues to reduce the percentage of holdings that need preservation action. Annual decisions on which records receive preservation action are based on multiple considerations, including format and equipment obsolescence, frequency of use, needs to ensure that records can be handled safely, digitization planning, and exhibition needs. 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 in

early FY 2013. 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 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 19th and 20th-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 film 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. The application allows NARA to enhance security by tracking physical location, to document record groups needing preservation actions and the completion of that work, and will allow tracking of use in the future. HMS will provide documentation and requirements for additional space needs and preservation actions. The last two facilities scheduled for HMS deployment in FY 2013 include the National Personnel Records Center and the National Archives in Denver.

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 the range of facility or program preservation issues leading to the development of long-range preservation planning tools. The action plan from each review provides a foundation for each facility or unit to create a long-range preservation plan. The significant outcomes of the long-range preservation 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.

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, time sensitive obsolescence affecting future access to audio video holdings, increasing demands for digitization and limited access to commercial services to preserve specialized audiovisual holdings could delay achievement of performance objectives.

<u>**Verification and Validation**</u>

Performance Data	**FY 2009**	**FY 2010**	**FY 2011**	**FY 2012**	**FY 2013**	**FY 2014**
Performance target for percent of archival holdings that require preservation action.	*≤ 65*	*≤ 65*	*≤ 65*	*≤ 62*	*≤ 55*	*≤ 55*

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Percent of archival holdings that require preservation action.*	65	64	62	55		
Holdings requiring preservation action (in thousands of cubic feet).	2,571	2,578	2,636	2,460		
Archival holdings that have been treated (thousands of cubic feet).	116	110	79	102		

Prior to FY 2012, the data used to calculate archival holdings requiring preservation action came from a survey baseline on 9/30/2006. Beginning in September 2012, we used data from detailed assessments of our regional archives. Data from the other archives was carried forward.

Milestones
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
- HMS deployment to four additional regional archives completed.
- Reviews of preservation needs at six NARA locations.
- Long-range preservation plan for special media records developed.

FY 2013 Estimated
- HMS deployment to National Personnel Records Center and National Archives at Denver completed.
- Reviews of preservation needs at six NARA locations.

FY 2014 Projected
- Reviews of preservation needs at six NARA locations.

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

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.**

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.

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.

FY 13 Estimated Performance

- Sustain 88 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.

- Achieve 85 percent migration of unclassified legacy holdings to ERA.

FY 14 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 unclassified legacy holdings to ERA.

- Make electronic records from George W. Bush administration released under PRA/FOIA available via Online Public Access (OPA).

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 NARA's 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. ERA was designed to receive and preserve permanent electronic records created by the Federal government. Deployed in five increments, ERA has multiple instances to handle the unique needs of electronic records from Federal agencies, Presidential administrations, and the U.S. Congress.

NARA must review all Presidential papers page-by-page to determine which records may be made available to the public. The vast volume of Presidential electronic records received by NARA at the end of a Presidential administration brings an enormous challenge to our ability to make Presidential records available to the public in a timely manner. For example, if the Presidential emails from the George W. Bush administration were printed, this body of material would be greater than the textual holdings of all the Presidential Libraries combined. As we process Presidential records in response to PRA/FOIA requests, we will make them available through our Online Public Access (OPA) system.

Our ability to process archival electronic records is enhanced by ERA. The ERA system also has an Online Public Access component to make our permanent electronic records searchable and accessible to the general public. We expect to complete the migration of all of NARA's unclassified legacy holdings in FY 2014.

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

Performance Data	**FY 2009**	**FY 2010**	**FY 2011**	**FY 2012**	**FY 2013**	**FY 2014**
Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.	*80*	*80*	*83*	*85*	*88*	*88*
Percent of archival electronic accessions processed.	88	88	83	87		
Number of accessions received.	2,467	2,674	2,938	3,143		
Number of accessions processed.	2,188	2,349	2,429	2,743		
Unprocessed accessioning backlog (in accessions).	288	325	509	400		
Performance target for percent of unclassified legacy holdings migrated to ERA.	—	—	—	*75*	*85*	*100*
Percent of unclassified legacy holdings migrated to ERA.				75		

Milestones
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
- Unclassified legacy records migrated to ERA.

FY 2013 Estimated
- Unclassified legacy records migrated to ERA.

FY 2014 Projected
- Unclassified legacy records migration to ERA completed.
- Electronic records from the George W. Bush administration released under PRA/FOIA made available via OPA.

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

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

FY 13 Estimated Performance
- Establish a scalable methodology for evaluating preservation risk for archival electronic records based on technical white papers.

FY 14 Projected Performance
- Develop Preservation Plans for selected high priority archival electronic formats.

- Establish a baseline of archival electronic records preserved according to 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 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 electronic records preservation policy and strategy includes the principles NARA will use to preserve NARA's permanent electronic records indefinitely. Several years ago, NARA completed a version of our preservation 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 principles during the lifecycle management of records.

To mitigate the threats and risks to the preservation of electronic records, we have begun to assess the digital preservation needs of the archival electronic formats in NARA's custody and establish criteria to prioritize the development of preservation 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.

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target of percent of NARA's electronic holdings accessioned and preserved according to plan.	—	—	—	—	—	*Establish baseline*
Percent of NARA's electronic holdings that are accessioned and preserved according to plan.	—	—	—	—	—	
Number of archival holdings accessioned (in terabytes).	—	110	156	515		

Milestones

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 created.

FY 2012
- Methodology for evaluating electronic records preservation risk established.
- Technical white paper, preservation and access plan templates established.

FY 2013 Estimated
- Trusted Digital Repository self-assessment completed on portion of NARA's electronic records preservation program with an action plan developed to address deficiencies.

FY 2014 Projected
- Technical white papers and preservation plans for selected high priority archival electronic formats completed.
- Trusted Digital Repository self-assessment completed on portion of NARA's electronic records preservation program with an action plan developed to address deficiencies.

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.

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.

FY 13 Estimated Performance
- Carry out corrective and adaptive maintenance tasks.

FY 14 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   The Electronic Records Archives (ERA) is 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).

With all agencies onboard and ERA designated as the mandatory method for agencies to conduct scheduling and permanent records transfer transactions with NARA beginning in September 2012, we are prepared to provide support. NARA created on-line training, guides and instructional materials, and lists of frequently asked questions to assist agencies with ERA. The materials are located on NARA's web site at www.archives.gov/records-mgmt/era/. Efficient operations and maintenance remains our focus while we will also work to enhance ERA Base search functionality and make Presidential records accessible through OPA.

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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for megabyte cost to manage archival electronic records decreases each year.	*Establish baseline*	*$0.36*	*$0.15*	*$0.13*	*$0.13*	*$0.12*
Per megabyte cost to manage archival electronic records decreases each year.	$0.36	$0.15	$0.12	$0.03		
Number of terabytes of archival electronic records managed by ERA (includes pre-accessioned electronic records).*	—	110	156	515		

Milestones
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
- Use of ERA by Federal agencies to transfer electronic records to NARA mandated.
- Minimum of additional 40 terabytes of Federal records from agencies ingested into ERA.
- Corrective and adaptive maintenance tasks that increase ERA efficiency and reduce per-

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megabyte cost of managing archival electronic records performed.

FY 2013 Estimated   • Corrective and adaptive maintenance tasks that increase ERA efficiency and reduce per-megabyte cost of managing archival electronic records performed.

FY 2014 Projected   • 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.

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.

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

FY 13 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, scheduled appointment, 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.

- Identify ways to reduce OGIS case closure rate of 90 days.

FY 14 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, scheduled appointment, or scheduled pull time;
  - 90 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
  - 94 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less.

- Create a systematic and regular set of mechanisms to collect feedback on researcher needs and the quality of our services.

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.

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.

Our holdings include records from modern Presidential administrations, Congressional committees, and recent special commissions created by Congress. Researchers expect to reference useful descriptions that will help them locate records, whether they are online or hard copy. We will seek to better understand particular research interests and needs as well as the quality of our services by creating a systematic and routine set of mechanisms to collect feedback.

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.

NARA's Office of Government Services (OGIS) reviews policies and procedures of administrative agencies under FOIA, reviews agency compliance with FOIA, and recommends policy changes to the Congress and the President to improve the administration of FOIA. Our case work of FOIA requests continues to grow. Since opening in September 2009 and through FY 2012, the number of cases opened exceeds 1,000. In addition, we have handled more than 800 phone calls and e-mails during that same time period that did not result in opening a case. Although we have been successful in closing the majority of our cases, we will more closely examine our processes to understand ways to expedite case closure.

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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for written requests answered within 10 working days.	*92*	*93*	*94*	*95*	*94*	*94*
Percent of written requests answered within 10 working days.	95	93	95	97		
Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.	*87*	*87*	*88*	*89*	*90*	*90*
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	86	89	89	83		
Number of FOIAs processed.	17,514	15,770	17,182	13,743		
Annual cost to process FOIAs (in millions).	$2.76	$2.97	$3.16	$3.08		
Annual per FOIA cost.	$158	$189	$184	$224		
Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	*93*	*94*	*94*	*95*	*95*	*95*
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	93	96	97	98		
Number of researcher visits to our research rooms (in thousands).	129	137	129	123		
Number of items furnished in our research rooms (in thousands).	553	564	578	549		
Number of items furnished on time in our research rooms (in thousands).	515	539	560	536		
Performance target for archival fixed-fee reproduction orders through OFAS are completed in 20 (35 pre-2007) working days or less.	*90*	*90*	*91*	*92*	*93*	*94*
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).	90	96	96	95		
Average per order cost to operate fixed-fee ordering.	$38.06	$40.49	$39.59	$39.82		
Average order completion time (days).	18	13	13	7		

Milestones

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
- Hardware requirements for wireless capability in regional archives nationwide surveyed.
- 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 Estimated	• Mediation program to resolve FOIA disputes established.
	• Initial stages of plan for reviewing agency compliance with FOIA implemented.
	• Advanced Dispute Resolution Skills training course for inter-agency groups developed.
	• Examine ways to expedite case closure.
FY 2014 Projected	• Systematic mechanisms to collect feedback on researcher needs and quality of our services created.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Request price for military service separation agreements from *FY 2013 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.

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

FY 13 Estimated Performance   • 1.2 percent of NARA's traditional archival holdings are accessible online.

FY 14 Projected Performance   • 1.3 percent of NARA's traditional archival holdings are accessible online.

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.

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.

Following these four strategies and in alignment with NARA's Digitization Strategy, we will streamline our digitization processes to more efficiently make NARA holdings permanently available online to our customers, stakeholders, and the public.

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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for percent of traditional records available online.	*0.2*	*0.3*	*0.65*	*1.00*	*1.20*	*1.30*
Percent of traditional records available online.	0.04	0.6	0.8	1.2		
Percent of accessioned electronic records available online.	1.3	1.4	.03	.01		

Milestones

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
- 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 Estimated
- The first images created under NARA's digitization partnerships are published by NARA.

FY 2014 Projected
- Additional images created under NARA's digitization partnerships are published by NARA.

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

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

FY 13 Estimated 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.

FY 14 Projected Performance

- Describe 90 percent of NARA traditional holdings in our online catalog at the series level.

- Describe 90 percent of NARA artifact holdings in our online catalog at the series level.

- Describe 90 percent of NARA electronic holdings in our online catalog at the series level.

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 3.4 million cubic feet of our textual holdings, more than 520,000 artifacts, and 10.2 billion born-digital records. The catalog also contains links to more than 1,100,000 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 6.37 million descriptions. We are developing the next generation description and authority service (DAS) that will allow us to add millions of descriptions and digital objects from the partnership projects. This tool will replace the existing online catalog data entry system in FY 2013 and will eventually interface with our Holdings Management System (HMS) to create preliminary descriptions and with the Electronic Records Archive (ERA) to provide access to electronic records. DAS will also integrate with OPA to make new and updated descriptions and authorities available for searching in OPA.

In FY 2012, NARA established a Description Challenge Working Group to examine all aspects of the description process to develop a strategy to accelerate the archival description process. The working group recommended a multi-tiered approach where the concept of the tiers is to progress naturally from the most basic kinds of description through increasingly sophisticated description. The multi-tiers incorporated four levels with the first level, preliminary description, including agency supplied descriptive information or descriptions supplied in NARA's ARCIS system. NARA will use this approach to advance its efforts to provide descriptions for our holdings.

Verification and Validation

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for traditional holdings in an online catalog.	*65*	*70*	*75*	*80*	*85*	*90*
Percent of traditional holdings in an online catalog.	73	72	74	81		
Number of traditional holdings described in an online catalog (millions of cubic feet).	2.7	2.8	3.0	3.4		
Number of traditional holdings in NARA (millions of cubic feet).	3.9	4.0	4.2	4.5		
Performance target for artifact holdings in an online catalog.	*65*	*70*	*75*	*80*	*85*	*90*
Percent of artifact holdings in an online catalog.	80	74	78	88		
Number of artifact holdings described in an online catalog (thousands of items).	465	466	466	528		
Number of artifact holdings in NARA (thousands of items).	628	600	600	600		
Performance target for electronic holdings in an online catalog.	*65*	*70*	*75*	*80*	*85*	*90*
Percent of electronic holdings in an online catalog.	95	96	96	87		
Number of electronic holdings described in an online catalog (billions of logical data records).	6.3	6.7	6.9	10.0		
Number of electronic holdings in NARA (billions of logical data records).	6.7	6.9	7.2	11.4		

Milestones

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
- Upgrade to Webtrends analytics software completed.

FY 2013 Estimated
- New description tool available to staff.

FY 2014 Projected
- Capabilities to enhance sharing of and engagement with catalog data expanded.

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 the online 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.

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

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.

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

FY 13 Estimated 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.

FY 14 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.

- Launch a new NARA-wide resource base on the web for educators and the general public.

- Produce a NARA-branded traveling exhibit for regional facilities.

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   Through the records of our Presidential Libraries and Museum Services, the Office of Legislative Archives, and the National Archives in general, we promote an understanding of the American experience, the Presidency, and the Congress. 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. 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. At National Archives regional locations in 13 metropolitan areas, we offer additional opportunities to encourage civic awareness and learning while NARA's archival centers located throughout the country provide educational programs that present our national story in local settings. Throughout our network of operations, we preserve and provide access to an ever increasing and complex array of records to ensure that current and future generations can discover, use, and learn from the records of our Government.

We strive to establish a brand for the National Archives that is very visible to our stakeholders and customers, represents an exceptional standard of quality, and is increasingly manifest in the delivery of service across all the functions of the agency. Our work to advance historical and civic literacy is at the heart of the National Archives brand. Traveling exhibits, whether shown at NARA facilities or non-NARA facilities, effectively and efficiently support the building of a brand. We are committed to developing a national exhibition program that includes a strong traveling exhibit program. We will investigate new models that use best practices to develop a well-defined, dynamic traveling exhibit program that builds the National Archives brand and reaches a broader, more diverse audience typically visiting a NARA facility or Presidential Library.

Throughout the National Archives system, we deliver a wide variety of experiences for visitors to advance historical and civic literacy. These experiences are realized through physical visits, online and offline publications, video conferences, webcasts, and other methods. Our museum programs, Presidential Library programs, workshops for teachers and students, educational web sites, online exhibits, and public programs attract millions of visitors each year. We continuously pursue new approaches and innovations that allow us to increase interactivity with our visitors.

Currently we host numerous websites to inform the public about our resources, exhibits, teaching activities, and public and educational programs. This information appears in different sections of *Archives.gov,* the Presidential Library websites, and on partner websites—making it difficult for the public to locate information. In FY 2013, we will implement a study to identify user expectations and needs when searching for content. In FY 2014, we will launch a new web interface that will consolidate content based on user expectations and more effectively display featured exhibits, learning modules, and events.

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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Number of visitors to NARA museums and exhibits (in millions)	3.6	3.6	4.0	3.8		
Performance target for percent of visitors satisfied with their visit experience.	—	*85*	*86*	*87*	*88*	*88*
Percent of visitors satisfied with their visit experience.	—	91	89	—		
Number of rated education programs, workshops, and training courses.	634	632	579	385		
Number of attendees at rated education programs, workshops, and training courses.	11,688	14,327	11,008	8,416		

Milestones

FY 2009
- NARA's 75th 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
- Fast track OMB approval for information collections implemented.

FY 2013 Estimated
- AASLH study administered.
- Phase 2 of National Archives Experience Orientation Plaza completed.

FY 2014 Projected
- NARA-wide resource based to facilitate access to information by educators and the general public launched.
- Traveling exhibit promoting NARA's brand produced.

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

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.

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

FY 14 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. Annually, 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. The initial release of the Founders Online website is scheduled for FY 2013. It will include all the published papers of John Adams, Alexander Hamilton, Thomas Jefferson, James Madison, and George Washington. Additional material will be added to the site throughout 2013 and 2014, including all the previously published papers 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.

Efforts are currently underway to make 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 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 2012 to the Founders Online web site. We expect to add 20,000 preliminary transcriptions in 2013 and the final 35,000 transcriptions in 2014.

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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for the percentage of closed grants achieving desired results.	*82*	*82*	*85*	*85*	*85*	*85*
The percentage of closed grants achieving desired results.	82	92	84	89		

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
- More than 60,000 unpublished papers of John Adams, Thomas Jefferson, James Madison, and George Washington transcribed.

FY 2013 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.
- Online access to 30,000 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.

FY 2014 Projected
- Online access to remaining 35,000 unpublished transcriptions of the papers of John Adams, Thomas Jefferson, James Madison, and George Washington.

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

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

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.

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

FY 13 Estimated Performance
- Establish competency models for 85 percent of NARA's positions.

- Complete competency gap analysis throughout all NARA organizations.

- Rollout eIDP and mentor program.

FY 14 Projected Performance
- Establish baseline for percent of employees who possess the competencies identified for their jobs.

- Establish measurement for the percent of targeted competency gaps filled.

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.
- Identify or design development 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. 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 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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Performance target for percent of NARA positions with competency models.	—	—	*60*	*85*	*95*	*100*
Percent of NARA positions with competency models.	—	—	—	63		
Percent of NARA positions with competencies that have been assessed for gaps.	—	—	—	—	Establish baseline	
Performance target for percent of NARA staff who possess the competencies identified for their jobs.	—	—	—	—	—	*Establish baseline*
Percent of NARA staff who possess the competencies identified for their jobs.	—	—	—	—	—	
Performance target for percent of targeted competency gaps filled.	—	—	—	—	—	*Establish baseline*
Percent of targeted competency gaps filled.	—	—	—	—	—	
Number of permanent staff.	2,667	2,793	2,827	2,927		
Percent of permanent staff having staff development plans that link to strategic outcomes.	67	71	75	59		
Number of permanent staff having staff development plans that link to strategic outcomes.	1,748	1,920	2,070	1,615		
Percent of staff having performance plans that link to strategic outcomes.	96	97	91	65		
Number of staff having performance plans that link to strategic outcomes.	2,525	2,631	2,518	1,782		

Milestones

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
- Leadership competency model finalized to cover all NARA leadership positions.
- Assessment of competency gaps for managers and HR conducted.

FY 2013 Estimated
- Competency work for remaining positions developed.
- Assessment of competency gaps conducted.
- Training to close gaps knowledge and skill gaps identified.
- Competency assessment tool developed/purchased.
- Rollout agency-wide training and development strategy.
- Rollout eIDP and mentor program to begin to strategically address employees identified with competency gaps.

FY 2014 Projected
- Assessment of competency gaps conducted.
- Training to close knowledge and skill gaps 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.

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

FY 13 Estimated Performance
- Increase the participation rate 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 14 Projected Performance
- Increase the participation rate 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 Diversity and Inclusion Strategic Plan (DISP), as well as our annual Federal Equal Opportunity Recruitment Program (FEORP) Plan. Our DISP contains three strategic goals that together form the foundation for addressing NARA's ability to successfully recruit, hire, promote, educate and retain a more diverse workforce, and to create a culture that encourages collaboration, flexibility, and fairness to enable individuals to participate to their full potential. The three goals are:

- Recruit from a diverse, qualified group of potential applicants to secure a high-performing workforce drawn from all segments of American society;
- Cultivate a culture that encourages collaboration, flexibility, and fairness to enable individuals to contribute to their full potential and further retention; and
- Develop structures and strategies to equip leaders with the ability to manage diversity, be accountable, measure results, refine approaches on the basis of such data, and institutionalize a culture of inclusion.

Each year, NARA identifies specific strategies that we will undertake to support DISP 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; and ensuring that our DISP and 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 DISP reporting requirement.

In an effort to instill greater accountability for diversity goals among NARA managers and supervisors, NARA evaluates two critical performance elements. Managers and supervisors are held accountable for their performance in helping to promote and enhance diversity within NARA. 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.

NARA's Director of Equal Employment Opportunity is the senior-level agency official responsible for overseeing the execution of NARA's Strategic Plan for the Recruitment, Hiring, and Retention of Individuals with Disabilities. 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.

Results from the government-wide Employee Viewpoint Survey (EVS) indicate a need to improve our efforts in employee engagement and take a broad approach to improve diversity. We have efforts in place to support building a diverse workforce at all levels of the organization and creating an environment in which staff feel trusted, empowered, and safe. Our goal is to improve the extent to which employees believe that actions and policies of leadership and management promote and respect diversity and inclusion.

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

Performance Data	**FY 2009**	**FY 2010**	**FY 2011**	**FY 2012**	**FY 2013**	**FY 2014**
Number of applicants.	6,362	6,803	10,015	7,592		
Number of applicants in underrepresented groups.	2,811	852	122	194		
Percent of applicants in underrepresented groups.	44	13	1	3		
Number of qualified applicants.	3,735	4,027	7,638	1,622		
Percent of qualified applicants in underrepresented groups.	48	15	1	12		
Number of best qualified applicants.	1,643	1,488	1,501	18		
Percent of best qualified applicants in underrepresented groups.	48	21	4	50		
Number of new hires.	309	199	127	18		
Percent of new hires in underrepresented groups.	57	37	24	50		
Summary of underrepresented groups of employees meeting or exceeding the Civilian Labor Force (CLF) rate: ("⇧" indicates increased percentage from prior year; "⇩" indicates decreased percentage from prior year; and "=" indicates the same percentage as prior year)						
—Women	⇧	⇩	⇩	Met		
—Black	Met	Met	Met	Met		
—Latino-Hispanic	⇧	⇧	⇧	⇩		
—Asian	⇧	⇩	⇧	⇩		
—Hawaiian /Pacific Islander	Met	Met	Met	⇩		
—American Indian/Alaskan Native	Met	Met	Met	⇩		
—Targeted disability	⇧	=	⇩	⇧		

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
- 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.

FY 2013 Estimated
- Continue employee engagement in identification of organizational challenges and remediate improvement measures already identified.
- Diversity Strategic Plans including the Diversity and Inclusion Strategic Plan, the annual Federal Equal Opportunity Recruitment Program (FEORP) Plan and the Strategic Plan for the Recruitment, Hiring, and Retention of Individuals with Disabilities implementation continued.
- Data collection methodology identified for assessment of new supervisory critical elements
- On-going training resource identified for new supervisory critical elements.
- 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 strategies for improvement.
- Review and analyze applicant flow data from USA Staffing.
- Expand outreach and recruitment efforts.

FY 2014 Projected
- Diversity Strategic Plans including the Diversity and Inclusion Strategic Plan, the annual Federal Equal Opportunity Recruitment Program (FEORP) Plan and the Strategic Plan for the Recruitment, Hiring, and Retention of Individuals with Disabilities implementation continued.
- Assessment of new supervisory critical elements conducted.
- 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.
- Employee engagement efforts through affinity programs and/or focus groups to assess effectiveness of NARA internal programs, identify deficiencies, and develop strategies for improvement implemented.
- Outreach and recruitment efforts expanded.
- Available grants and potential MOUs and/or Cooperative Agreements with colleges and universities with a high concentration of minorities and women researched.

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

FY 13 Estimated Performance   •   40 percent of NARA's positions are filled within 80 days.

FY 14 Projected Performance   •   50 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   NARA's Strategic Human Capital Plan defines how we will 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, where the process workflow begins with the hiring manager's approval to fill a vacancy and ends with the employee's start date.   As a result of these efforts, FY 2012 data shows that 26 percent of positions were filled within 80 days— up from 9.7 percent in FY 2011.

We remain committed to implement process efficiencies to reduce the amount of time and enhance the experience for hiring managers and applicants alike. The implementation of automation tools such as 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, greatly improved the process. The tool also allows us to screen hundreds of applications received for each NARA job posting. In addition, in FY 2012 we transitioned to the Department of Interior National Business Center(NBC), our shared service center provider for human resources information technology and payroll services. We implemented NBC's Federal Personnel and Payroll System (FPPS), an integrated personnel and payroll system that enables NARA offices to initiate, route, and approve electronic personnel actions online—fully automating the hiring process and eliminating reliance on paper-based routing.

We will continue our ongoing efforts to identify barriers to timely hiring, and to develop remedial action plans with aggressive timeframes for resolution. Throughout FY 2013 and FY 2014, 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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Number of applicants.	6,362	6,803	10,015	7,592		
Number of applicants hired.	309	199	127	18		
Average number of days to fill position.	—	152	144	109		
Performance target for percent of NARA's positions filled in 80 days.	*—*	*30*	*40*	*25*	*40*	*50*
Percent of NARA's positions filled in 80 days.	—	12	10	26		

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
- 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 Estimated
- 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.
- Well check assessments at NARA facilities conducted.

FY 2014 Projected
- Staffing plans and budget process streamlined.
- Well check assessments at NARA facilities conducted.

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

FY 13 Estimated Performance   • 30 percent of NARA's eligible staff participates in the telework program.

FY 14 Projected Performance   • 35 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's telework program serves as a way to enhance the quality of work life, recruit and retain staff, and support our continuity of operations program. We continue to support the integration of telework into agency operations. The Office of Personnel Management's (OPM) telework guidance specifically outlines restrictions that define positions that are not eligible to telework.   Barriers to telework eligibility range from positions that require working with classified materials to working with IT security issues to responsibilities requiring face-to-face personal contact.

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.

Verification and Validation

Performance Data	**FY 2009**	**FY 2010**	**FY 2011**	**FY 2012**	**FY 2013**	**FY 2014**
Percent of eligible NARA employees who could telework.	—	28	29	29		
Number of eligible NARA employees who could telework.	—	1,011	1,035	972		
Performance target for percent of eligible NARA employees who telework.	—	*15*	*15*	*12*	*30*	*35*
Percent of eligible NARA employees who telework.	—	26	36	33		
Number of eligible NARA employees who telework.	—	260	368	316		

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

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

FY 13 Estimated Performance
- Public network applications are available 98.88 percent of the time.

- Implement at least two cloud-based solutions for applications.

- Create governance infrastructure for improving storage management.

FY 14 Projected Performance
- Public network applications are available 98.89 percent of the time.

- Implement at least two cloud-based solutions for applications.

- Select storage tools to support improved storage management.

- Complete 90 percent of Helpdesk initial responses within 4 hours.

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 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 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, nearly 700 servers in addition to the network, email, security, and operation and system management tools. 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. NARA's IT infrastructure and its operational components are monitored, evaluated, supported, and managed to achieve optimum levels of reliability, capability and performance. Key processes and procedures will be developed and implemented to ensure performance expectations are achieved and appropriate and timely corrective action is taken when deficiencies occur. Our ability to provide the public and staff with the electronic tools they need to access information and manage records is essential to our operations.

To further strengthen NARA's IT infrastructure for business needs, we will improve digital storage management within the agency. We will establish a governance structure where we will create storage management policy clearly addressing roles and responsibilities. We will define a storage management process and implement procedures to ensure that our data is well maintained and meets agency business storage needs and our data remains safe, secure, in efficiently managed environment. 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. NARA pursued and evaluated cloud-based e-mail solutions from FISMA-compliant vendors for possible implementation and is positioned to implement an e-mail based solution in FY 2013. We will continue to investigate and identify appropriate areas for agency implementation of cloud solutions.

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

Performance Data	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Percent of public network availability.	100	100	100	91		
Performance target for percent availability of public applications.	*98.84*	*98.85*	*98.86*	*98.87*	*98.88*	*98.89*
Percent of public applications availability.	99.5	99.7	99.5	98.9		
Number of total hours that any public network application was unavailable.	414	305	459	779		
Number of network users for public applications (in millions).	6.8	2.6	2.3	1.6		
Cost per visit to public applications.	$0.43	$1.24	$1.84	TBD		
Performance target for percent of Helpdesk responses completed within 4 hours.	—	—	—	—	—	*90*
Percent of Helpdesk responses completed within 4 hours.	—	—	—	—		
Percent of customer's highly satisfied with NARA helpdesk services (average for year).	87	87	83	82		
Percent of helpdesk customer's responding to survey.	9.3	9.8	9.5	9.9		

Milestones

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
- Results and feasibility of cloud-based pilot e-mail solution determined for possible implementation.

FY 2013 Estimated
- Two cloud-based solutions for applications that directly benefit public users of NARA records and resources implemented.

FY 2014 Projected
- Two cloud-based solutions for applications.
- Tools to support improved storage management 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.

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 2013	FY 2014
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 proposed regulations. The Records Management module allows NARA to maintain electronic dockets in a recordkeeping system.	$10,000 service fee	$10,000 service fee
Recruitment One-Stop	Recruitment One-Stop benefits NARA by providing an effective mechanism for finding qualified applicants for vacant positions, through USAJOBS.gov. USAJOBS is an online portal through which citizens can easily search for employment opportunities at NARA. NARA posts all of its job announcements through USAJOBS.gov.	$8,816 service fee	$7,444 service fee
		$11,220 service fee Revolving Fund	$9,475 service fee Revolving Fund
Enterprise Human Resources Integration (EHRI)	EHRI allows NARA to capture and store images from paper personnel records and provides NARA employees with immediate online access to forms in their Official Personnel Folders. EHRI reduces the time spent copying, faxing, storing, scanning, retrieving, and mailing paper folders.	$37,052 service fee	$24,132 service fee
		$47,158 service fee Revolving Fund	$30,713 service fee Revolving Fund

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 2013	FY 2014
E-Travel	This initiative provides NARA with efficient and effective travel management services. The benefits include cost savings associated with cross-government purchasing agreements and 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.	$54,504 service fee	$56,702 service fee
		$29,349 service fee Revolving Fund	$30,532 service fee Revolving Fund
Grants.gov	This initiative benefits NARA and its grant programs by providing a single location to publish grant award opportunities and application packages, and providing a single site for the grants community to apply for grants using common forms, processes and systems.	$47,975 agency contribution	$40,623 agency contribution
Financial Management LoB	This initiative will create Government-wide financial management solutions that are efficient and improve business performance while ensuring integrity in accountability, financial controls and mission effectiveness.	$26,143 agency contribution	$26,143 agency contribution
Geospatial LoB	The Geospatial LoB results in a more coordinated approach to producing, maintaining, and using geospatial data. This initiative establishes a collaborative model for geospatial-related activities and investments. NARA participates to support the preservation of permanently valuable Federal government geospatial records.	$15,000 agency contribution	$15,000 agency contribution