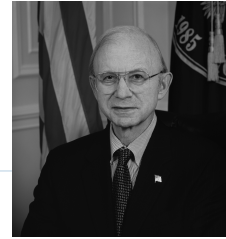


PRESERVING THE PAST TO PROTECT THE FUTURE

*The Strategic Plan of
The National Archives and Records Administration*

2006–2016

PREFACE FROM THE ARCHIVIST



In the Rotunda of the National Archives Building in Washington, DC, the Declaration of Independence, Constitution, and Bill of Rights are on display for anyone who wishes to see them. The words on these carefully preserved parchments have shaped our Government and our country for more than two centuries and they capture forever the hopes, dreams, and aspirations the founders of our democracy had for its citizens. But it is beyond the walls of the Rotunda that most of the stories of America can be found in records that document history, the business and actions of Government, and the rights and entitlements of individuals. It is in our offices, regional archives, records centers, Presidential libraries, and research rooms where the work of our mission is planned and carried out every day across the country.

I am pleased to present the Strategic Plan of the National Archives and Records Administration (NARA) for 2006–2016, which details our goals for the next 10 years, the strategies we will use to achieve these goals, and the measures by which we will evaluate our progress. This plan was created with the input of our staff at all levels, our customers both within and outside of the Government, our stakeholders, and our colleagues in the archival, historical, and records management communities. The feedback we received reaffirmed the soundness of the directions we have been taking in many areas, and helped us to focus new attention on other areas.

We are firm in our conviction that effective management of the records of the Federal Government is key to a responsive, citizen-focused democracy. In this vein, we will continue to put a high priority on solving the challenges of electronic records and on our leadership role in addressing issues posed by all kinds of records. It is clear that our role as the nation's record keeper is vital now and for the future, for we must take care of the information that will become our country's history.

While many important themes continue from our last Strategic Plan, some of the content of this plan is new. Changes in the Federal Government, in our society, and in the nature of records themselves compel us to adapt the way we do business and how we address the needs of all our customers. A new emphasis by the White House and Congress on raising civic literacy in our nation has led us to highlight our world-class educational programs for all ages. Greater concerns over the loss of vital records in natural and manmade disasters has given rise to our focus on advising government organizations in preparing for and recovering from events where records may be at risk. And the increasing demand by users for more online access to records has driven us to prioritize the processing of a backlog of records and to focus on increasing our digitization efforts.

Within the goals and strategies throughout this plan, you will see our organizational values reflected in our plans for the decade ahead. These are the ideals that steer our work and illustrate the spirit of our Vision.

At the National Archives, we maintain a highly skilled and talented workforce and conduct all our business with the utmost professionalism. Our customers are the American people, and we are dedicated to serving them as effectively and efficiently as possible. To do this, we will continually improve our programs and services through innovation and the use of technology. We encourage the involvement of all our colleagues in the archival and records management communities as well as our stakeholders in the larger world, knowing that partnerships at all levels of the organization will add depth and richness to our programs and initiatives. At all times we are committed to remaining absolutely nonpolitical, to building consensus, and to treating our colleagues, customers, and staff with civility and respect.

Public service is the central tenet of our mission and our vision for the future. The holdings of the National Archives belong to the American people, and we work every day to ensure they are usable and accessible. These records document the rights and entitlements of individuals and the actions of Government agencies and officials; the ability to examine them is a cornerstone of our democracy.

Finally, we believe in lifelong learning. For citizens to participate in the democratic process, they must be civically literate, and we have the responsibility to use the rich resources in our holdings to educate the public and foster learning for students of all ages. Workshops, exhibits, and public programs online and at NARA facilities across the nation highlight historical documents that have shaped our country and tell the stories of the American people. We also value the education of our staff as they engage in professional development activities and continue to learn throughout their careers.

In developing this plan, we have challenged ourselves to reach for some very ambitious goals because we know that this is the level of service and expertise our customers want and deserve. Our holdings belong to all the men, women, and children who make up our country. We must fulfill the trust that has been placed in us. Furthermore, our customers are not only the visitors who come to our research rooms, libraries, exhibits, programs, and websites, they are future generations of Americans—those whose dreams will determine our nation's future. The work that NARA does in the next 10 years will help shape the kind of Government that serves Americans over the decades to come, and I am honored to play a part in this important mission.



ALLEN WEINSTEIN

Archivist of the United States

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STATUTORY FOUNDATION

The mission of the National Archives and Records Administration (NARA) is rooted in legislation codified principally under Chapters 21–33 of Title 44 of the United States Code.

Therein resides the authority of the Archivist of the United States, as head of the National Archives and Records Administration, to provide guidance and assistance to Federal officials on the management of records; to determine the retention and disposition of records; to store agency records in records centers from which agencies can retrieve them; to receive, preserve, and make available permanently valuable Federal and Presidential records; and to take into NARA’s archival facilities, including Presidential libraries, for public use donated materials that are determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the United States Government.

As defined in Section 3301 (and similarly for Presidential records in Sections 2111 note, and 2201), these records are

all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.

Regarding those records, the Archivist shall not only receive and preserve them, he shall make them accessible and exhibit them as defined in Sections 2109 and 2114.

Title 44 further specifies the kinds of records that Federal officials must create and preserve with NARA’s guidance. Section 3101 stipulates that

the head of each Federal agency shall make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency’s activities.

Definitions in Section 2901 extend recordkeeping requirements to elements of the legislative and judicial branches, as well as executive branch agencies, and Section 2203 requires similarly that the President of the United States “assure that the activities, deliberations, decisions, and policies that reflect the performance of his constitutional, statutory, or other official or ceremonial duties are adequately documented.”

NARA shares responsibility with Federal officials throughout the Government for “adequacy of documentation”—for seeing that certain kinds of records are created, kept, and made accessible. In Chapter 15 of Title 44, NARA has an additional and unique role to file centrally and to publish Federal laws and administrative regulations, the President’s official orders, and the structure, functions, and activities of Federal agencies through the daily *Federal Register*.

Title 3, Chapter 1, of the United States Code provides that the Archivist of the United States will receive and transmit to Congress the certificates of the electors of the Electoral College, preserving them for public inspection.

Finally, in Executive Order 12958, as amended, NARA, as administrator for the Information Security Oversight Office, plays a crucial role in promoting and enhancing the system that protects classified information while at the same time providing for an informed public by ensuring that the minimum information necessary to the interest of national security is classified and that information is declassified as soon as it no longer requires protection.

NARA Statutes

Federal Register and Code of Federal Regulations (Title 44, Chapter 15)
Publications for Use of National Archives and Records Administration (44 U.S.C. §1714)
National Archives and Records Administration (Title 44, Chapter 21)
Presidential Records (Title 44, Chapter 22)
National Archives Trust Fund Board (Title 44, Chapter 23)
National Historical Publications and Records Commission (Title 44, Chapter 25)
Advisory Committee on the Records of Congress (Title 44, Chapter 27)
Records Management by the Archivist of the United States and by the Administrator of
General Services (Title 44, Chapter 29)
Records Management by Federal Agencies (Title 44, Chapter 31)
Disposal of Records (Title 44, Chapter 33)
Coordination of Federal Information Policy (Title 44, Chapter 35)
E-Government Act of 2002 (44 U.S.C. § 3501 note)
Documents Relating to Japanese Internment (50 U.S.C. § 1989b-6)
Nazi War Crimes Disclosure Act (5 U.S.C. 552 note)
Disclosure of Information on Japanese Imperial Government (5 U.S.C. § 552 note)
Public Interest Declassification Act of 2000, as amended (50 U.S.C. § 435 note)
Custody of Records; Oklahoma Historical Society (25 U.S.C. §199a)

Vision

As the nation's record keeper, it is our vision that all Americans will understand the vital role records play in a democracy, and their own personal stake in the National Archives. Our holdings and diverse programs will be available to more people than ever before through modern technology and dynamic partnerships. The stories of our nation and our people are told in the records and artifacts cared for in NARA facilities around the country. We want all Americans to be inspired to explore the records of their country.

Mission

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

Part I

WHAT IS OUR SITUATION NOW?

Every day the National Archives and Records Administration (NARA) touches the lives of people all over the nation. From the visitors who come to see the Declaration of Independence, Constitution, and Bill of Rights in Washington, DC ... to the genealogists searching for clues to their family history in one of our regional archives ... to the students learning about a President and his administration at one of our Presidential libraries ... to the Government officials seeking assistance in managing the records of their agency ... to the military veterans using our online services to request a copy of their service records—our customers are not limited by age, race, or socioeconomic status. We assist anyone with a need for or interest in Government records, and their requests are as diverse as the records we hold.

Yet, changes in the Federal Government, in our society, and in the nature of records themselves drive us to make changes in the way we do business and how we address the needs of all our users.

As our nation's record keeper, we see the constantly changing benefits and demands of technology shaping the way the Government does business. The dramatic emergence of electronic Government has brought to the forefront new records management issues that have implications beyond government business. Electronic records will continue to increase exponentially in both volume and formats over the next decade. The ability to find, organize, use, share, appropriately dispose of, and save records—the essence of records management—is vital for the effective functioning of the Federal Government. In rising to the challenges of electronic records, NARA is transforming itself from an agency that manages traditional (predominantly paper) records to a leader in electronic records management. We must continue to work with agencies to help them seamlessly incorporate records management into their business processes and information systems.

The Electronic Records Archives (ERA) is a comprehensive, systematic, and dynamic means for preserving electronic records, free from dependence on any specific hardware or software, and will improve preservation of and access to computer-based records into the future. Over the next decade, ERA will become increasingly capable, enabling NARA to process and then make valuable Government electronic records available. We will continue to work to ensure that this technology is scalable for use by others who have a need to preserve electronic records.

Our holdings in all media—paper, electronic, film, and so on—are constantly growing as the proliferation of Government records continues. At the same time, the public demand for access is increasing. NARA has a significant backlog of unprocessed holdings that are therefore not yet readily available to the public. New records are arriving faster than they can be processed. Clearly, we must refocus attention and resources on making as many records as possible accessible to the public.

While we put great effort into readying records for public use, the expectation of easy online access to our holdings continues to grow. The American public expects information to be delivered almost instantly to their desktop with more and more information available via the Internet. However, we cannot provide online access to all our holdings in the next decade—the task is simply too big. Our focus must be on making our most requested holdings available online, and on providing researchers with online tools to help them in their work.

As we strive to find new and better ways to get information to those who want it, we also recognize that our customers will benefit from having historically relevant records explained and put in context. Simply put, the records of our country tell the story of its history. For Americans to understand and participate in our present democracy, they must understand our collective past.

Security concerns fostered by threats of terrorism, theft, natural disasters, and the vulnerability of computer systems have forever changed our Government and the way we think about and care for records. In addition to dealing with issues of collection security that are inherent in our mandate to allow public access to the nation's records, we must continue to address evolving concerns of continuity of operations, emergency preparedness, and recovery of damaged records in the event of disasters.

Despite changes to our Government, NARA's core mission remains—we preserve, process, and provide access to the records of our Government. In a democracy, the records of the Government belong to its citizens, and providing access to them is a vital obligation. Because of work done every day in NARA facilities across the nation, the public can examine the records that document the actions of Government officials, the entitlements of individuals, the events that make up American history, and in some instances, how those events have affected the rest of the world.

We recognize that for NARA to move forward in the next decade we must plan carefully and use our resources wisely to our customers' best advantage. We cannot simply continue doing things as we have always done them. We recognize that we must reexamine our business processes and reevaluate the benefits of our programs so that we are working in the most efficient and cost-effective manner. At the same time, we need to step forward and lead the archival and records management community with innovative programs and new strategies, while striving to deliver enviable customer service. We must shape ourselves into a nimble agency that can respond quickly and effectively to ongoing changes to our business, our Government, and our society.

Our greatest advantage in succeeding at the goals in this strategic plan is our dedicated, talented staff. We must offer current staff members the professional opportunities needed to equip them with the skills necessary to master developing technology and evolving business processes. We must also train NARA's future leaders to meet the challenges we can now only begin to envision.

Just as we have not come to our current situation entirely on our own, our future also depends on collaboration with other agencies, groups in the both the private and public sectors, and professional communities. Partnership is essential now and into the future to meet our goals, and we are excited about the possible collaborations that lie ahead.

The Strategic Goals detailed on the following pages are demanding, and we have a long way to go from our present state to achieve them. The records entrusted to us form the very foundation of our democracy—from the Charters of Freedom, to the naturalization records used by millions of Americans to verify their citizenship, to the census records that enumerated the entire population of our country, to the service records of the courageous men and women who fought for our freedom. At the National Archives and Records Administration, we work every day to ensure that everyone with a need or desire for access to Government records can have the information they want—that is our mission and our pledge to the American people.

Part II

WHAT DO WE WANT TO ACHIEVE?

VISION

As the nation's record keeper, it is our vision that all Americans will understand the vital role records play in a democracy, and their own personal stake in the National Archives. Our holdings and diverse programs will be available to more people than ever before through modern technology and dynamic partnerships. The stories of our nation and our people are told in the records and artifacts cared for in NARA facilities around the country. We want all Americans to be inspired to explore the records of their country.

At the National Archives, we preserve the past to protect the future. The records we hold are the original sources of the American story, documenting the collective history of our nation through the actions of individuals and institutions. We see the soul of America in the Declaration of Independence, the Constitution, and the Bill of Rights. We see the passion of America in the arrest warrant of Susan B. Anthony, issued when she defiantly cast a ballot in the 1872 Presidential election. We see the genius of America in Thomas Edison's patent application for the light bulb. We see the great lessons of America in President Truman's executive order committing the Government to integrating the segregated military. We see the heart of America in the military records of the courageous men and women who served in the Armed Forces, and in the manifests of ships, recording the names of those immigrants who came to this country with dreams of a new life. These documents, like all the records in National Archives facilities across the country, are more than by-products of Government business—they are pieces of history and they belong to the people of this nation.

As the nation's record keeper, we will work to ensure that all Americans know the role records play in a democracy and the personal stake they have in the National Archives.

MISSION

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

This statement acknowledges our statutory responsibility for the management of the records of the Federal Government. It also acknowledges our commitment to providing both Federal agencies and the public access to the records of the Federal Government. Furthermore, our mission statement recognizes

that our mandated work also serves democracy, for the ability of the people to have access to the documentation of their rights and entitlements and to examine the records of their Government and the actions of their elected officials is the foundation of a democratic society. Documentation of the rights of citizens means material that enables them to establish their identities, protect their rights, define their responsibilities, and claim their entitlements. Documentation of the actions of Federal officials means material that enables them to explain past decisions, form future policy, and be accountable for consequences. Finally, our holdings tell the story of our nation. We believe our mission supports the teaching, learning, and understanding of American history and civics.

Government records take various forms, including

- *written paper records*
- *maps, drawings, pictorial, and audiovisual records of documentary value*
- *digital records generated in multiple formats by computers*
- *artifacts as well as papers in Presidential library collections, and*
- *donated historical collections from notable Americans, Federal Register publications, and other materials that help document rights and entitlements, Federal actions, and historical experience.*

NARA alone is the archives of the Government of the United States, responsible for safeguarding records of all three branches of the Federal Government. This mandate is unique. Records document and personalize the history of our country, as well as the rights and entitlements of individuals and also support the tenets of democracy that allow citizens to examine the actions of their Government. Thus, included in our mission is the responsibility to share our holdings through programs and exhibitions that promote civic literacy and education. The records we hold belong to the public—our mission is to ensure the public can discover, use, and learn from the records of their Government.

Strategic Goals

- One:* As the nation's record keeper, we will ensure the continuity and effective operation 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, and education programs.
- Six:* We will equip NARA to meet the changing needs of our customers.

Part III

WHAT MUST WE DO TO GET THERE?

To achieve our strategic goals, we will pursue the strategies outlined below.

Strategic Goal 1: As the nation's record keeper, we will ensure the continuity and effective operation of Federal programs by expanding our leadership and services in managing the Government's records

Strategic Overview

At the beginning of the 21st century, we recognized a need to redesign Federal records management strategies and techniques that were developed in the mid-20th century for paper records to address the way records are created and managed now. In response, we identified goals and devised strategies, tactics, and measures of success that will prepare us for the records and information challenges of this century. We will ensure that

- *Federal agencies can economically and effectively create and manage records necessary to meet business needs*
- *Records are kept long enough to protect rights and assure accountability, and*
- *Records of archival value are preserved and made available for future generations.*

Through our Federal Records Center system, NARA provides secure and cost-effective records storage, access, and disposition services for Federal agencies. As agencies deal with tight budgets and downsizing, the records management expertise available from NARA has become vital to maintaining records according to Federal regulations in many agencies.

This is the foundation on which the long-term success of NARA's mission depends. Promoting and ensuring effective records management across the Federal Government is the first building block to the rest of our Strategic Plan.

Going further, we must demonstrate the connection between effective records management and responsive, citizen-focused Government. We must continue to make the case that Government records are valuable assets and that effective records management is the tool for managing and protecting them. We must also aggressively pursue solutions to the management challenges of electronic records.

Recent disasters, both natural and man-made, have underscored the importance of records. In an instant, years' worth of vital records and irreplaceable information can be destroyed forever. Our role in these emergencies is to promote the preservation of records, first our own, then other Federal records, and then those of other levels of government. Our records management oversight and guidance responsibilities have long included Federal agency vital records management programs to plan for and recover from records-related emergencies and dis-

asters. NARA will continue to be a partner in the Federal response community. In advance of emergencies, we support other Government agencies and public institutions with advice about disaster preparedness for records. During emergencies, we provide counsel in reacting to emergency situations that threaten records. Our readiness to respond also includes preserving the *Federal Register* publication system, which generates legal records essential to the continuity of America's constitutional democracy. NARA will ensure that the *Federal Register* is published in times of crisis, in the face of all hazards, for as long as needed.

There is no question that the role of the nation's record keeper is vital to the future of our nation, for without proactive records management we will lose the information that documents the daily work of our Government and, ultimately, the history of our nation.

Specific Strategies for Records Management

- A. We will expand the demand for records management in the Federal Government by advocating for it at senior levels. By providing guidance, training, and assistance throughout the Government, we will support agencies' business needs and embed records management in the agencies' business processes and systems.
- B. In addition to providing efficient records storage and retrieval, we will offer expanded reimbursable records center services such as the ability to manage electronic records within the Federal Records Center Program.

Specific Strategies for Ensuring the Continuity of Operations

- C. We will promote the preservation of government records during times of disaster—first and foremost those that we hold, then other Federal records, then those of other levels of government.
- D. The *Federal Register* will be ready on short notice at another location to support Federal plans for continuity of operations.
- E. We will protect our holdings in the event of a man-made or natural disaster.
- F. All NARA facilities will be prepared to function under continuity of operations plans with minimal interruption of essential functions.
- G. We will support the Government in obtaining and preserving essential documentation related to a continuation-of-Government event.
- H. We will ensure that all appropriate records are acquired and remain available for special access during Presidential and congressional transitions.

Strategic Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible

Strategic Overview

In a democracy, the records of the Government belong to its citizens, and providing access to them is a vital service. After the Archivist has identified the records to be retained for posterity, NARA gathers, stores, processes, and preserves them. Our holdings cannot be made available to current and future generations if we do not invest in the archival processing and preservation of records in our custody.

Archival processing involves all the steps needed to open a record to the public. It includes establishing basic intellectual control, flagging records that have privacy or national security classifications, providing enhanced descrip-

tions of the records content as well as the context in which the records were created, and performing initial preservation 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 the creation of more records. 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 deal with this backlog and make our holdings accessible to the public, we will examine our work processes and re-engineer them to make them as effective as possible. We will seek out and develop partnerships to assist in this effort, and will realign our business systems and processes when appropriate. The expected result will be a considerable increase in records available for research.

Our archival processing efforts must go hand-in-hand with investments in the preservation, appropriate storage, and security of the records and artifacts in our custody. Our holdings include loose and bound textual records, photographs, motion picture films, architectural drawings, maps and plans, magnetic media, sound recordings, electronic records, and artifacts such as furniture, paintings, and textiles. It is our responsibility to ensure that items such as these—as well as our more famous holdings like the Declaration of Independence, Constitution, and Bill of Rights—receive the care they are due. This means that they are appropriately preserved, stored, handled, and exhibited so that they are available to future generations.

For records to be available to researchers, we must have inspected them and given them appropriate preservation attention. We must continue to focus on preparing appropriate archival space for both our present and future holdings. Changing and increasing threats and vulnerabilities may continue to require improved security measures for our holdings, staff, and infrastructure. We will continue to refine our security measures to guard our holdings while still maintaining the open access that our mission inherently dictates.

Specific Strategies for Accessioning and Processing Records

- A. We will establish intellectual control over our unprocessed collections so that the public can have efficient access.
- B. We will ensure that records to be accessioned into the National Archives arrive on time, properly documented, and in accordance with our published guidance.
- C. We will expeditiously process our holdings for opening to the public as soon as legally possible.
- D. We will improve the efficiency with which we manage our holdings from the time they are scheduled through accessioning, processing, storage, preservation, and public use.
- E. We will describe all of our holdings at a level and quality appropriate to their use, understanding that these descriptions are the key to subsequent access.
- F. We will ensure that all eligible classified holdings are either declassified, exempted, or referred according to Executive Order 12958, as amended.
- G. We will work to ensure that the continued classification and withholding of sensitive holdings is entirely appropriate and for no longer than necessary.

Specific Strategies for Storage, Preservation, and Collections Security

- H. We will ensure that all of our holdings are in appropriate space, whether temporary holdings in the records centers or archival holdings in our archival facilities, and whether they are artifacts, electronic files, or traditional records.

- I. We will ensure that future Presidential libraries meet standards that will make them usable and sustainable into the future.
- J. We will prioritize and address the preservation needs of all our holdings, regardless of format.
- K. We will proactively adapt our security measures for our staff, holdings, and infrastructure to meet changing threats and vulnerabilities.

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

Strategic Overview

For many years, NARA's mission involved preserving the paper records that have been created over more than two centuries of our nation's government. Over the past decade we have identified a course for dealing with the challenge of preserving electronic records. Now, the volume of electronic records is increasing exponentially. Having the ability to find, manage, use, share, and appropriately dispose of electronic records is vital for the effective functioning of the Federal Government.

Across the entire Federal Government, there is one prominent trend that is creating both challenges and opportunities for the National Archives to assess and improve how it conducts its business—the increasing dependency of the U.S. Government on information and networking technology to execute governmental functions. This transformation of government processes, also known as “e-Government,” has resulted not only in the development and use of new tools to conduct business, and the creation of records in new and varied formats, but also in the transformation of the way public business is carried out.

This trend has critical implications for the lifecycle management of records, creating an inherent tension for the National Archives. On the one hand, the Government needs us to provide direction in this changing and uncharted landscape, and we must update our services for both the Government and the public to deal with electronic records. On the other hand, we must recognize that information technology is dynamic, and there is no predictable end to the evolution of the technology we use or in the characteristics of electronic records. To successfully meet the needs of both Government and the public, the National Archives must continue to adapt and expand its services as the shift to e-Government continues.

Our primary response to the challenge of authentically preserving electronic records free of specific hardware and software and providing access to these records in the future is the Electronic Records Archives (ERA). When deployed, ERA will give us the means to preserve, process, and provide sustained access to Federal Government electronic records of archival value and to provide economical storage and retrieval services for electronic records that remain under the legal control of the originating agencies. ERA will provide a comprehensive, systematic, and dynamic means of preserving and providing continuing access to authentic electronic records over time.

In addition, the National Archives will develop new transfer standards to enable more efficient processing of electronic records being transferred to ERA. Finally, we will continue to work closely with many partners to ensure that this technology is scalable for use by state and local governments, the private sector, and other institutions with a need to preserve electronic records over time.

Specific Strategies

- A. We will deploy the Electronic Records Archives to capture, describe, preserve, and provide access to Government electronic records.
- B. Through research partnerships, we will expand our expertise in the capture, preservation, and delivery of electronic records.
- C. We will partner with agencies, researchers, and private industry to develop, implement, manage, and promote our electronic records program.

Strategic Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime*Strategic Overview*

In the decades to come, the expectation of easy online access to our holdings will grow. The breadth of information available on the Internet has increased public demand for faster access to more information than could even be thought possible just a decade ago. Research is no longer relegated to libraries and research rooms, but is being done around-the-clock on computers worldwide. To support this new appetite for information, we will create, to the greatest extent possible, an “archives without walls.”

We have two challenges in this area. The first is to provide access to records that were created digitally. Being already digital, these will be made available through the Electronic Records Archives. By contrast, our traditional records must be scanned or otherwise digitized. We will work to digitize selected records, including those most requested by researchers. Additionally, we will put searchable descriptions of *all* our holdings online with clear information about the archival context of the original records and how they may be located and used, and we will develop online tools to assist researchers.

Some researchers need to delve deeper into records than our online services will allow. We will continue to support them with research rooms and expert reference staff. We will equip these facilities and staff with the tools to help researchers locate records at any National Archives facility. At the same time, we must reinvent the traditional role of our reference staff and equip them with the skills they need to work in an online world.

The Internet has introduced countless researchers to the holdings of the National Archives. This thirst for online access to information is exciting, as it brings more and more people to our virtual doors. Yet the task of building an “archives without walls” is daunting. Our strategies in this area will focus on developing dynamic partnerships to digitize and deliver our most popular holdings and create tools to help researchers find the information they seek. By putting our country’s records literally at the public’s fingertips, we will be able to share our rich resources with more people than ever before.

Specific Strategies

- A. We will continuously re-envision the nature of archival research services to sustain a nationwide system of archival research with coordinated access to all the resources and staff expertise of the National Archives.
- B. For the broadest possible access, we will make digital copies of selected non-electronic records available online. We will identify these holdings in a digitization plan that sets priorities for putting these holdings online.

- C. We will work to establish partnerships with both governmental and private institutions to facilitate the availability of NARA holdings over the Internet, in accordance with appropriate Government laws, regulations, policy, and guidance.
- D. We will continue to publish descriptions of our archival holdings in an online catalog, and provide online access to selected records via the published descriptions, including those holdings hosted by our digitization partners, so that the archival context of all our holdings is readily available.
- E. We will eliminate the backlog of written requests awaiting reply, especially those made under the Freedom of Information Act.

Strategic Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs

Strategic Overview

America's democracy is reborn—and reinterpreted—with each generation. In that essential work of renewal, each generation must understand the basic ideas, forms, and values of the Government they inherit. It is with this understanding, this civic literacy informed by the lessons of history, that the American people will be equipped to nurture the evolution of our democracy.

In the promotion of civic literacy, the National Archives has always played a unique and important role. As the keeper of Government records, we have literally safeguarded the documentary record of American history. In a world where everyone has an opinion regarding current events, we have offered an evidential foundation for the public conversation. Familiarity with this evidential record is the core of what we mean by civic literacy.

Access to these holdings is the right of all Americans. 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. Therefore, we continually educate the public about the treasure of information and the services we offer to enable access to our holdings.

We understand that our usefulness to the public is directly related to our visibility. People must know what we are, what we do, and what we hold before they can benefit from our resources. Likewise, we must understand who our customers are and what they need from us. We have seen the power of the Internet to bring communities of interest together for a common purpose. We will foster such online communities in our mission area, believing that through them we can multiply our effectiveness at promoting civic literacy. We likewise see our volunteers, the Foundation for the National Archives, and the private foundations that support the Presidential libraries as instrumental in advancing archival ideas and civic literacy. They promote our mission and provide additional resources to accomplish that mission while becoming a grass-roots corps of advocates for historical records.

The National Archives is not a single building in Washington, DC. It is a nationwide network of regional archives, records centers, and Presidential libraries and museums. Along with our web sites, our facilities provide access to records as well as workshops, seminars, exhibits, lectures, films, and special events, giving visitors all around the country unique interactive experiences. We will continue to augment our programs through partnerships with

institutions that can help us reach our goals. Through our public outreach and education programs that help people understand how to use our holdings, we are committed to furthering our nation's civic literacy and putting America in touch with the richness of history and the promise of the future.

Specific Strategies

- A. Working with other Federal and state agencies whose primary purpose is education, we will continue to support teachers and students, creating a cadre of educators and researchers who use primary sources as teaching tools.
- B. We will promote the understanding of America's national experience through lifelong learning programs.
- C. We will create exhibits and programs that raise the profile of records, and the historical and civic understanding that is based on those records. We will use all available resources, including the private foundations that support the National Archives and the Presidential libraries, to expand audiences, achieve public notice, reach new communities, and engage opinion leaders.
- D. We will expand our web presence to broaden the reach of our exhibit and education programs and improve the quality of the visitor experience.
- E. We will continue to work with the private foundations that support the National Archives and the Presidential libraries to raise the visibility of the National Archives to the public.
- F. We will partner with industry, national and international institutions, and affiliated archives to develop cooperative initiatives that showcase NARA holdings, promote civic and historical literacy, and highlight the importance of records.

Strategic Goal 6: We will equip NARA to meet the changing needs of our customers

Strategic Overview

In this plan, we commit ourselves to expanding records management services to the Federal community and solving the challenges of electronic records in government. We also pledge to make more of our holdings available for examination by the public, and to create new and dynamic ways for researchers to learn about, access, and care for our holdings so they will be preserved for use by generations to come.

These are bold commitments, and to fulfill them will require bold thinking and bold ideas. As managers and employees, we must challenge ourselves—and each other—to think proactively about emerging challenges and opportunities, apply new approaches to old problems, and seek out ways to improve and streamline our business processes. And collectively, we must establish ourselves as an organization that seeks excellence, encourages flexibility, and always puts the customer first. It is not enough to make a plan—we must create the staff, culture, and technological infrastructure to support that plan.

First and foremost, we must ensure that everyone in NARA understands what is envisioned in this plan and how each of us can contribute to making the plan a reality. This includes not only our regular workforce, but also the countless students, volunteers, contractors, and other partners who contribute their time and energy to NARA programs across the country. For all of these staff, we must create an environment wherein individuals feel connected to the mission and vision of the agency and valued for the contributions they make. In addition, we must ensure that each of us in NARA understands who our customers are and

what our customers expect from us. Each of us serves a customer, whether we are providing records management support to Federal agencies, preserving documents, locating service records for veterans, maintaining our IT systems and networks, awarding grants, or processing budget or personnel actions. These customers must always be our first thought—never an afterthought.

Moreover, we must continually adapt our policies, practices, and procedures to provide the best possible value and service to our customers. In an environment where change is the rule rather than the exception, we cannot assume that the way we conduct business today will be the way we conduct business tomorrow. We must work with our customers to identify their changing needs and develop creative, innovative solutions. In particular, we must be attentive to our customers' information technology requirements, and ensure that NARA's information technology infrastructure is optimized to support those requirements.

Specific Strategies

- A. We will identify and implement the cultural changes that we need to better serve our customers in a changing environment.
- B. We will ensure that staff have the skills, competencies, training, and tools they need to support their customers in a changing environment.
- C. Through innovative approaches, we will recruit and develop a diverse workforce so that we can better serve a diverse public.
- D. We will encourage and reward excellence, flexibility, accountability, and creativity.
- E. We will increase staff productivity by improving our systems and processes.
- F. We will expand our partnerships with the professional communities who share our goals and mission.
- G. We will expand our corps of volunteers and the roles they play in helping us serve our customers.
- H. We will continue to partner with the private foundations that support the National Archives and the Presidential libraries to increase customers and produce quality products and services of interest to the public.
- I. We will make sure that each employee understands his or her opportunities to advance within the organization.
- J. We will involve employees in defining the best practices for their unit.
- K. We will support an information technology operation that thrives on nimbleness and serving customers, both internal and external.

Part IV

HOW WILL WE KNOW WE HAVE SUCCEEDED?

In previous sections of this Strategic Plan, we have indicated where we want to go and what we must do to get there. This section provides more detail on our planned accomplishments. Within each strategic goal, we list the few *long-range performance targets* (numbered in boldface) that we will use to measure our success. Under these, we show several *related measures*. These are not constituents of the long-range performance targets, but rather other measures that give a fuller picture of our activities in related areas. *Key external factors* are constraints outside of NARA that could affect our success. Each target also is linked to the appropriate measurement area and category of the Federal Enterprise Architecture's Performance Reference Model (PRM), Version 1.0.

Our annual performance plans will track additional measures and milestones to gauge our short-term progress. At the strategic level, the long-range performance targets below will tell us, our stakeholders, and the public whether we are on track to accomplish the goals of this plan. The targets are organized by strategic goal for ease of reference.

Strategic Goal 1: As the nation's record keeper, we will ensure the continuity and effective operation of Federal programs by expanding our leadership and services in managing the Government's records

Specific Strategies for Records Management

1.1 By 2012, 85 percent of senior Federal agency managers view their records management program as a positive tool for risk mitigation.

This long-range performance target measures the success of NARA's efforts to promote records management in the Federal Government. The expected outcomes are that Federal agencies can economically create and manage records necessary to meet the needs of the public, records are kept long enough to protect rights and assure accountability, and records of archival value are preserved.

Related Measures

- Percent of agency Enterprise Architectures assessed by OMB that include records management.
- Number of advocacy visits made.

PRM Linkage Mission and Business Results: Management of Government Resources

Key External Factors OMB is assessing agencies regarding their Enterprise Architectures. We will need access to those assessments.

1.2 By 2012, 90 percent of customers are highly satisfied with NARA records management services.

NARA provides services to support agencies in their implementation of records management. We provide guidance, training, assistance, and the approval of records schedules. (The schedules specify the retention period and final disposition of agency records.) Here, we measure our success at delivering these services through a smooth and efficient program with satisfied customers.

Related Measures

- Backlog of open schedules.
- Percent of completed schedules that cover high-value records.
- Percent of records schedule items submitted and approved electronically.
- Percent of agency survey respondents who agree that NARA's records management guidance products are significant, timely, and useful to their agency.
- Number of records management training participants that NARA certified this year.
- Percent of records management training participants highly satisfied with the training.
- Percent of records management training participants taking a NARA records management course for the first time.

PRM Linkage Customer Results: Customer Benefit

Key External Factors Records management professionals must be motivated to attend training and complete NARA's certification program.

1.3 By 2012, the Federal Records Center Program annually retains 98 percent of its customers.

The Federal Records Center Program offers reimbursable records management services to Federal agencies by storing, accessing, and disposing of their temporary records. This measures our success in pleasing and thereby retaining our Federal agency customers. The outcome is superb service to Federal agencies.

Related Measures

- Number of customers.
- Number of new customers.
- Retained earnings as a percent of revenue.
- Percent of revenue coming from new services.
- Percent of customers who are highly satisfied with Federal Records Center Program services.
- Percent of Federal agency reference requests that are ready within the promised time.
- Percent of written requests to the National Personnel Records Center that are answered within 10 working days.

PRM Linkage Mission and Business Results: Management of Government Resources

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.

Specific Strategies for Ensuring the Continuity of Operations

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.

This target measures our success at securing the records of an outgoing administration, especially if the change of administration is unexpected—our most challenging case.

- Related Measures*
- Percent of the incumbent President’s and Vice President’s records, including artifacts and electronic systems, for which NARA has prepared inventories.
 - Percent of Presidential and Vice-Presidential *records, including artifacts*, that have been moved to NARA locations or NARA-approved facilities within 30 days of the end of an administration.
 - Percent of Presidential and Vice-Presidential *electronic systems* that have been moved to NARA locations or NARA-approved facilities within 30 days of the end of an administration

PRM Linkage Mission and Business Results: Management of Government Resources

Key External Factors Our success depends greatly on working with both the outgoing and incoming WhiteHouse staffs.

1.5 By 2009, 100 percent of our Continuity of Operations Plans (COOP) meet the requirements for viability.

Continuity of Operations Plans provide for the protection of NARA staff, NARA facilities, and NARA holdings in case of an emergency. The requirements for viability are spelled out in Federal Preparedness Circular 65 and include ongoing assessments and exercises. This measure serves to highlight the importance of continuing operations in the years to come. The outcome is that our staff knows what to do in the event of a disaster because all units have a plan and have successfully rehearsed their roles in it.

Related Measures Number of NARA facilities that are covered by a COOP.

PRM Linkage Mission and Business Results: Support Delivery of Services

1.6 By 2009, NARA has established partnerships with FEMA to support 100 percent of its regions in the national response to emergencies.

The preservation of our own records is covered in target 1.5 above. However, we have a larger role in national emergencies. Our primary role is to promote the preservation of Federal records with a secondary function of providing technical assistance in records preservation to state, local, and tribal governments. To have any role, however, we need to have previously established a relationship with the national response coordinator, FEMA. As a direct result of NARA’s leadership and collaboration with the Department of Homeland Security’s Office of Infrastructure Protection, “electronic and non-electronic records and documents” are now defined as national

assets to be protected. This measures our success in establishing ourselves as advocates for records preservation. The outcome is that disaster-response agencies at all levels of government will consider records preservation in both their planning and in their responses to emergencies.

PRM Linkage Mission and Business Results: Management of Government Resources

Key External Factors Our success depends on the willingness of the emergency management community to see records as a vital asset that has priority within any response to a disaster.

Strategic Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible

Accessioning and Processing Records

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

This target measures the timeliness of our work in getting all of the archival records that are supposed to come to us. The outcome is that records of archival value are preserved for future generations.

Related Measures • Percent of transfers received at the scheduled time.
• Percent of transfers of electronic records that meet NARA standards.

PRM Linkage Mission and Business Results: Management of Government Resources

Key External Factors Federal agencies must schedule their records. Agencies must agree to transfer their permanently valuable records to us. Federal agencies must implement Federal electronic records management standards.

2.2 By 2016, 95 percent of our holdings have been processed to the point where researchers can have efficient access to them.

This target directly measures our success against the goal. By “processed,” we mean that if a researcher asks for the records, we have established intellectual and physical control, performed basic preservation, described the holdings, and identified any restrictions on their release. In short, the records are at a point where a researcher can discover their existence and either have the records promptly or have a prompt explanation of why we must withhold them.

Related Measures • Backlog of unprocessed holdings.
• Average age of holdings in the backlog.
• Average time to complete processing.
• Average cost to process archival holdings for opening to the public.
• Percent of holdings opened pursuant to special access/FOIA requests.

PRM Linkage Customer Results: Service Accessibility

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.

2.3 By 2012, ISOO awards high scores to 90 percent of agency declassification programs.

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 as a means of assessing those programs. This target measures our success in improving the quality of agency declassification programs and in increasing their transparency to the public. Better-quality programs reduce the risk of inappropriate disclosure, they improve the efficiency of the declassification process, and they hasten the appropriate release of records to the public.

Related Measures

- Number of ISOO assessments.
- Number of ISOO assessments that award high scores.

PRM Linkage Customer Results: Timeliness and Responsiveness

Key External Factors Security concerns related to the global war on terrorism may divert resources from declassification efforts or lead to the withholding of additional records. Agencies' cooperation is essential to identifying the records subject to automatic declassification, impediments to meeting the new deadline, and solutions to these impediments.

2.4 By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provisions of Executive Order 12958, as amended.

NARA has a backlog of classified pages that cannot be released to the public because further declassification processing remains to be done on them. This target measures our success in keeping up with that backlog. The outcome is that records that *can* be declassified *are* declassified.

Related Measures

- Backlog of classified pages not yet reviewed for declassification.
- Backlog of declassified pages not yet open to the public.
- Number of pages declassified by NARA.
- Number of declassified pages opened to the public.
- Percent of each Presidential library's classified records that have been scanned for declassification before its automatic declassification deadline.

PRM Linkage Customer Results: Timeliness and Responsiveness

Key External Factors This work depends on our ability to persuade agencies to do declassification reviews of their equities in our custody.

Security concerns related to the war on terrorism may divert resources from declassification efforts or lead to the withholding of additional records.

The Kyl and Lott Amendments require the re-review, page-by-page, of all declassified records except those determined to be highly unlikely to contain Restricted Data and Formerly Restricted Data. We continue to devote resources to assist the Department of Energy (DOE) in surveying and auditing records to ensure that no Restricted Data and Formerly Restricted Data are inadvertently released. Our work in this increased in FY 2003 as the U.S. Air Force began a project similar to DOE's that will result in another layer of review before the records can be made available.

Special declassification projects also reduce the amount of declassification that can be accomplished with existing resources. Instead of examining entire records series for declassification, many of our declassification staff are required to examine individual withdrawn classified documents to determine their relevance and coordinate their declassification with the appropriate agencies.

The CIA must continue to provide technical support to enable the review of documents by other agencies. Agencies must conduct reviews of their equities in the scanned documents before the libraries can process the records for release.

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

Storage, Preservation, and Collections Security

2.5 By 2016, 100 percent of archival holdings are stored in appropriate space.

This target measures the quality of NARA's archival records space. The expected outcome is that archival records are preserved for public use.

Related Measures

- Archival holdings stored in appropriate space.
- Annual cost of archival storage space per cubic foot of traditional records stored.

PRM Linkage Mission and Business Results: Management of Government Resources

Key External Factors Public, White House, and congressional support for our space planning activities is vital to develop and implement proposed plans.

2.6 By 2009, 100 percent of NARA records center holdings are stored in appropriate space.

This target measures the quality of NARA's records center space. The expected outcome is that agency records are preserved for as long as needed.

- Related Measures*
- Temporary and permanent holdings stored in buildings that comply with the October 2009 regulatory storage standards.
 - Average storage price per cubic foot for records center holdings.

PRM Linkage Mission and Business Results: Management of Government Resources

Key External Factors Agencies may choose to store records in facilities not controlled by NARA.

2.7 By 2016, less than 50 percent of archival holdings require preservation action.

This target measures whether we are keeping up with our preservation responsibilities. The outcome of these actions is that we will preserve our archival holdings for generations to come. Basic preservation work is done under target 2.2 when the records are first processed. However, additional preservation work often remains to be done. This target includes the full range of potential preservation actions, but excludes electronic holdings, which are a special case addressed under Goal 3.

- Related Measures*
- Backlog of holdings requiring preservation action.
 - Cubic feet of holdings treated.

PRM Linkage Mission and Business Results: Services for Citizens

Key External Factors Unusually large increases of new at-risk records, such as the recent accessioning of OMPFs, increases in costs of leasing cold storage space, and growing or shifting public demands for the use of at-risk records could delay achievement of performance objectives. Limitations on the availability of appropriate cold storage facilities and commercial treatment laboratories affect our ability to address the preservation requirements of audiovisual holdings.

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

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

This target is a breakout of target 2.2 on page 16 above, *By 2016, 95 percent of our holdings have been processed to the point where researchers can have efficient access to them.* The outcome is that the records are at a point where a researcher can discover their existence and either have the records promptly or have a prompt explanation of why we must withhold them.

- Related Measures*
- Backlog of unprocessed electronic holdings.
 - Average age in the backlog of electronic holdings.
 - Average time to complete processing of electronic records.

- Average cost to process accessions or transfers of electronic records in NARA's legal custody.
- Percent of electronic records opened pursuant to FOIA requests.

PRM Linkage Customer Results: Service Accessibility

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.

3.2 By 2012, 80 percent of archival electronic records are preserved at the planned level of service.

This target measures our ability to preserve and provide access to electronic records effectively. We will preserve and maintain at the planned level of service any electronic record in any format. NARA plans to categorize holdings into three levels of service—basic, medium, and persistent—based on the technological characteristics of the records, the needs of the records' originators, laws and regulations requiring differing levels of control, expected customer demands or interests, and NARA's business strategies and priorities. The expected outcome of preserving archival electronic records at the planned level of service is that they are effectively preserved for future generations.

Related Measures

- Percent of electronic archival records preserved in a persistent format.
- Percent of customers highly satisfied with the levels of service that NARA provides for archival electronic records.

PRM Linkage Mission and Business Results: Management of Government Resources

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.

3.3 By 2016, the per-megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.

This target is a measure of the cost of electronic records preservation. The expected outcome is that the Electronic Records Archives (ERA) economically preserves archival electronic records for future generations.

Related Measures

- Number of electronic records preserved and managed by ERA.
- Number of ERA users.
- Number of retrievals of archival electronic records.
- Cost per ERA transaction.

PRM Linkage Technology: Financial

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.

Strategic Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime

4.1 By 2016, NARA customer service standards for researchers are met or exceeded.

This target measures how well we are meeting our own published standards. The outcome is that our customers are satisfied with our services.

Related Measures

- Percent of written requests answered within 10 working days.
- Percent of items requested in our research rooms that are furnished within 1 hour of request or scheduled pull time.
- Percent of FOIA requests for Federal records answered within 20 working days.
- Percent of online archival fixed-fee reproduction orders completed in 20 working days or less.
- Percent of researchers highly satisfied with their NARA experience.

PRM Linkage Customer Results: Timeliness & Responsiveness; Service Quality

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

4.2 By 2012, 1 percent of archival holdings are available online.

Here, we directly measure the extent to which our holdings have been put online. These records include both electronic records and non-electronic records that have been digitized, either by us or by our partners. By *online* we mean that the public can retrieve copies over the Internet without an interaction with NARA staff, and the archival context of these records is available in our online catalog. Not counted here are the electronic holdings that we will provide upon request and are therefore not, strictly speaking, online. The outcome of this work is that our holdings are available anywhere, anytime. For associated measures, see

For associated measures, see Target 4.3 on page 22, *By 2016, 95 percent of archival holdings are described in an online catalog*. The online catalog is the key to giving people access to the records once they are online.

Related Measures

- Archival holdings available online.
- Holdings hosted by NARA partners.
- Number of holdings forecast to be hosted online.
- Percent of holdings in NARA's digitization plan that are available online.
- Number of retrievals of online archival holdings, whether hosted by NARA or partners.
- Percent of survey respondents who find what they want online.
- Percent of people retrieving records online who report being highly satisfied with their online experience.
- Percent of customers highly satisfied with NARA's delivery of holdings online.

PRM Linkage Customer Results: Service Coverage

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.

4.3 By 2016, 95 percent of archival holdings are described in an online catalog.

We need to provide the tools that will let researchers find the records they want, regardless of where the records are and regardless of whether they are online or not. Our principal mechanism for doing that is the online catalog. Here we measure the extent of our holdings that are described in the catalog. The expected outcome is that researchers are able to find information about the archival records they need, anytime, anywhere.

Related Measures

- Percent of traditional archival records described.
- Percent of artifacts described.
- Percent of electronic records described.

PRM Linkage Customer Results: Service Accessibility

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

Our web sites are the way we package the research experience for our online customers. We expect great changes in that customer base over the next 10 years as we expand our online holdings and as a new generation of researchers arrives. We will use common industry instruments that measure customer satisfaction with web sites. The outcome is that more people, nationwide and worldwide, have easy access to our services.

Related Measures

- Number of web site visits.
- Percent of visitors to our web sites who report finding something useful during their visit.

PRM Linkage Customer Results: Service Quality

Key External Factors The standard for excellence will increase over the life of this plan.

Strategic Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs

5.1 By 2016, our museums score in the top 10 percent of all history museums nationally according to industry measures.

Various professional and commercial organizations have created tools for evaluating history museums based on feedback from visitors to the museums. We will use these tools to measure the effectiveness of our museums relative to similar museums. The outcome is that our museums will be effective at promoting civic literacy in America.

Related Measures • Number of visitors to NARA museums.

PRM Linkage Customer Results: Service Quality

Key External Factors Our success depends on the availability and suitability of instruments for measuring the effectiveness of museums. It also depends in part on the support we receive from the Foundation for the National Archives and the private foundations that support the Presidential libraries because they provide the additional resources needed to accomplish this goal.

5.2 By 2016, 95 percent of education, public outreach, and exhibit visitors are highly satisfied with their visit experience.

This is an overall measure of the public's satisfaction with its visit experiences. These experiences are delivered through a variety of mechanisms, including physical visits, online and offline publications, videoconferences, webcasts, and others. For museum visits in particular, studies have shown that for attendees, visit satisfaction correlates with learning. That is, people who report having a satisfying experience also turn out to have learned more of the content of the program. The outcome is that people understand their personal connection to the records of their history.

Related Measures

- Percent of visitors who view their visit as a significant learning experience.
- Percent of visitors who express an interest in working with primary sources.
- Number of programs, by type.
- Number of people attending programs, by type of program.
- Average duration of visit, by type of program.
- Cost of public programs, by type of program.
- Extent of media coverage of our programs.
- Extent of attributed use of our holdings in published documents.

PRM Linkage Customer Results: Customer Satisfaction

Key External Factors Our success here depends on the support of the private foundations that are fundamental to our education, public outreach, and exhibit programs. To better understand our customers' interests, we will need to expand our customer survey program. We will need the support of OMB in approving these surveys and our customers in conducting them.

Strategic Goal 6: We will equip NARA to meet the changing needs for our customers

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

This measures our success at creating a workforce with the skills necessary to deliver the services our customers require.

Related Measures

- Percent of jobs for which core competencies have been identified.
- Percent of employees who have development plans based on a competency-based staff development program.

PRM Linkage Mission and Business Results: Management of Government Resources

6.2 By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF).

This target is a measure of the diversity in NARA's workforce. The outcome is that our customer service to all segments of American society improves because our workforce mirrors the society we serve.

Related Measures

- Percent of *applicants* in underrepresented groups relative to the CLF.
- Percent of *qualified applicants* in underrepresented groups relative to the CLF.
- Percent of *new hires* in underrepresented groups that match their availability levels in the Civilian Labor Force.
- Retention rate, by underrepresented group.
- Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.

PRM Linkage Mission and Business Results: Management of Government Resources

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

6.3 By 2016, public network applications are available 99 percent of the time.

This measures the capacity and reliability of NARA's information technology infrastructure. The outcome is that NARA information and services are electronically accessible to the public 24 hours a day.

Related Measures

- Number of visits to public network applications.
- Cost per online visit.
- Downtime due to security incidents as a percent of 24 x 7.
- Network availability as a percent of 24 x 7.
- Percent of NARA information technology investments with a business-approved architecture.
- Percent increase in staff satisfaction with the NARA internal IT help desk.

PRM Linkage Technology: Reliability and Availability

Key External Factors Constantly evolving hardware and software changes make it difficult to accommodate growth while ensuring minimum performance levels on existing systems.

Part V

WHAT HAVE WE ACCOMPLISHED?



This section highlights key successes since our last Strategic Plan was issued in 2003.

PROGRESS MADE

Significant achievements are noted as follows:

Strategic Goal 1: We redesigned our records management training program to address new trends in records management and the ongoing revolution in information technology so that agency records professionals can play an important role in process design, IT capital planning, and information and knowledge management in their agencies.

Essential Evidence

Under the auspices of the Office of Management and Budget, we completed a Records Management (RM) Profile in the Federal Enterprise Architecture.

We were one of the first agencies to implement the first release of the Federal Docket Management System (FDMS), the e-rulemaking initiative. We continue to support the E-rulemaking Project Management office in dealing with FDMS records management issues.

We provided leadership for the Electronic Records Management (ERM) Initiative, one of the President's e-Government initiatives, to provide electronic records guidance to agencies and develop records management service components.

We launched an Internet portal to share ERM tools Government-wide.

We completed a business practices reengineering of our records lifecycle business processes in preparation for building these processes into the Electronic Records Archives.

Strategic Goal 2: We awarded a contract for the Electronic Records Archives (ERA), the system that will capture electronic information regardless of its format, save it permanently, and make it accessible on whatever hardware or software is currently in use.

Electronic Records

We have more than 86 million logical data records accessible online through Access to Archival Databases (AAD), an early prototype of a portion of the ERA system.

- Strategic Goal 3:
Ready Access** Our Archival Research Catalog (ARC), an online catalog of NARA’s nationwide holdings, contains descriptions of 50 percent of our holdings.
- We appraised Official Military Personnel Files (OMPFs) as permanent records, making nearly 1.2 million of them available for public research for the first time.
- We redesigned our web site, *archives.gov*, which won “Best Practices, Best Web Design in 2005,” a peer award voted by Federal web managers throughout Government service.
- We make 50 percent of our services to the public available online, including job applications, submission of grant applications, and ordering archival records through *Order Online!*
- Strategic Goal 4:
Space and
Preservation** We completed the renovation of the National Archives Building, highlighted by the reopening of the Rotunda and the opening of the new Public Vaults exhibit, the Lawrence F. O’Brien Gallery, the Learning Center, the Robert M. Warner Research Center, and the William G. McGowan Theater.
- We opened a new archival facility for the Southeast Region in Morrow, GA.
- We opened new records storage facilities in Atlanta, GA, and Riverdale, CA, that comply with our storage standards.
- The Clinton Presidential Library and Museum opened to visitors and research.
- Strategic Goal 5:
Infrastructure** We strengthened our Information Assurance Program for Information Technology (IT) Security.
- We created the means for agencies to submit signed legal *Federal Register* documents using the Electronic Editing and Publishing System (eDOCS).
- We revised the qualification standard for the General Services 1420 series to enable the Federal Government to hire a broader set of skills for the archival profession.

ASSESSING OUR RESULTS

Periodic assessment of the results we achieve and the extent to which our organization caused these results is necessary for successful strategic management. Decision makers need to know what worked, what did not, and why, and explore ideas of what should be done next. Each year we further refine our performance management program to make it more balanced across the categories of OMB's Performance Reference Model. The evaluation process described below provides the information we need to improve performance, ensure accountability, and inform the planning process.

Performance Measurement

Our Performance Measurement and Reporting System takes advantage of web infrastructure to collect our performance data from more than 70 NARA organizational units that send data to the system from all over the country. A recent upgrade took advantage of newer, more robust, and enterprise-level databases to store the data and extract reports, thereby minimizing the maintenance burden on desktop databases previously used for data collection. These improvements have allowed us to store much more data for analyzing trends. Frequent internal control evaluations, within the tool itself and of the processes used to collect the data, help ensure the continued accuracy and validity of the data.

Customer Satisfaction Assessment

Development and implementation of a comprehensive and coordinated program to measure customer satisfaction with our services is another key to strategic management success. Our customers are surveyed regularly to help us align our standards of performance with their expectations. By repeating surveys at frequent, systematic intervals, changes in our performance are measured and appropriate management actions are taken to ensure that service levels reflect an appropriate balance between customer needs and NARA resources.

Program Evaluation

We verify and validate measured values of actual performance and customer satisfaction in several ways. We use three existing mechanisms—periodic management reviews, formal audits of operations, and systematic sampling of measurement system effectiveness—to evaluate the degree to which our strategies are succeeding. Applicable program evaluations and audits are cited in the Bibliography at the end of this plan.

Combining these performance measurement and evaluation methods and integrating them into every level of day-to-day management of our operations provides powerful tools to assess the success of our programs, enabling us to determine which programs are on schedule to meet their objectives, what is or is not working and why, and what additional steps are needed to ensure that the program can meet the service-level agreements that have been established. This continual assessment of our results, and the degree to which our programs have influenced those results, is at the heart of the Government Performance and Results Act's intent. We continue to monitor external changes that affect our work, evaluate the degree to which our strategies are succeeding, and change those that are not.

CONCLUSION

This document lays out the Strategic Plan of the National Archives and Records Administration. It is a new plan covering the next 10 years that continues our efforts to ensure that our nation keeps adequate documentation of our Government's actions for generations to come, that the Government has a solution to the challenges of Electronic Records, and that Americans have expanded opportunities to make use of Government records in all forms, now and well into the future. This plan also takes us into some exciting new directions, focusing our attention on addressing the backlog of materials not yet available to the public, expanding our efforts to make America's records accessible to everyone—whether in digital or physical form, and through education, public programs, and exhibits, promoting civic literacy and the public's understanding of the treasures we protect.

As a living plan, it serves as our guidepost in documenting the progress we have achieved in meeting the goals of earlier Strategic Plans. We re-examine it each year to see what has happened to the assumptions on which it is based, what unanticipated challenges have subsequently arisen, and what unexpected opportunities have come to hand. Each third year, we incorporate that knowledge into a revised plan that reflects the current state of our progress in achieving our goals, adjusting goals as needed, and adding new or revised targets. We understand that change is inevitable, but we look at this plan as the long-range direction in which we will steer our course, leading us to a future in which all Americans will understand the vital role records play in a democracy and their own personal stake in the National Archives.

APPENDIX A: CUSTOMER SERVICE TARGETS

Following are the customer service targets found throughout our Strategic Plan, along with performance indicators, Performance Reference Model linkages, and outcomes.

<i>Long-Range Targets</i>	<i>Indicators</i>	<i>PRM Linkage</i>	<i>Outcomes</i>
95 percent of written requests are answered within 10 working days.	Number of written requests Number of requests answered in 10 days	Customer Results: Timelines and Responsiveness	People promptly receive the information they need from NARA.
90 percent of FOIA requests for Federal records are answered within 20 working days.	Number of FOIA requests received Cost per FOIA request	Customer Results: Timelines and Responsiveness	People promptly receive the information they need from NARA.
95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time.	Number of researchers Number of items requested Number of items furnished on time	Customer Results: Timelines and Responsiveness	Researchers receive prompt prompt services.
95 percent of written requests to the records center operations of the National Personnel Records Center are answered within 10 working days.	Number of requests Number of requests answered in 10 days	Customer Results: Timelines and Responsiveness	People, including America's veterans and civil servants and their families, receive the information and service they need from NARA.
95 percent of Federal agency reference requests in Federal records centers are ready when promised to the customer.	Number of agency reference requests Number of requests ready on time Cost per agency request	Customer Results: Timelines and Responsiveness	Agencies receive prompt cost-effectiveness services.
95 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less.	Number of orders Average order completion time Cost per order	Customer Results: Timelines and Responsiveness	People promptly receive the materials they have ordered from NARA.
95 percent of researchers are highly satisfied with their NARA experience.	Number of researchers Number of researchers highly satisfied	Customer Results: Customer Benefit	People learn about American history and the U.S. Government, as well as the extent of NARA's holdings.
95 percent of visitors are highly satisfied with their visit experience.	Number of program attendees Number of museum visitors Number of programs Average program rating Number of visitors highly satisfied	Customer Results: Customer Benefit	People learn about American history and the U.S. Government, as well as the extent of NARA's holdings.
95 percent of customers are highly satisfied with NARA records management services.	Number of records management customers Number of customers highly satisfied	Customer Results: Customer Benefit	Agency customers know about the records management services NARA provides and how to make use of them in their own agencies.

APPENDIX B: CHRONOLOGY OF STRATEGIC PLANNING AND GPRA ACTIVITIES

<i>Date</i>	<i>Event</i>
02/10/2005	Senate confirms nomination of Dr. Allen Weinstein to be the ninth Archivist of the United States
02/16/2005	Allen Weinstein is sworn in as the ninth Archivist of the United States
02/16/2005	The Archivist sends welcome letter to staff and launches initiative to visit and hold informal staff meetings with every NARA unit nationwide
05/06–06/10/2005	The Archivist holds a series of meetings with Senior Staff and Strategic Plan Support Team to develop new mission and vision statements for NARA's new Strategic Plan
06/13/2005	The Archivist announces the strategic planning effort, the importance of staff input to the strategic planning process, and upcoming staff focus groups in the <i>Staff Bulletin</i>
06/15–06/16/2005	The Archivist meets with Presidential library directors to discuss strategic directions
07/11/2005	The Archivist and Senior Staff formally kick off strategic planning activities with a nationally televised webcast for NARA staff entitled "A Conversation About NARA's Strategic Plan 2007–2017," presented from the McGowan Theatre in the National Archives Building
07/13/2005	The Archivist issues draft mission and vision statements to staff for comment during focus group sessions
07/18–08/31/2005	Approximately 90 focus group sessions are held around the country with more than 900 staff and volunteers participating in discussion about NARA's strategic direction. Additionally, external stakeholders are invited to comment, and several focus group sessions are held with external groups.
12/01/2005	The Archivist delivers "State of the National Archives and Records Administration" address to staff
12/27/2005	The Archivist releases "NARA's Strategic Directions for 2007–2017" for public comment, outlining NARA's new mission statement, vision statement, and proposed strategic goals and strategies
02/07/2006	The Archivist submits FY 2007 budget to Congress
03/07–05/24/2006	The Strategic Plan support team conducts facilitated sessions with senior managers and business process owners to develop long-range performance measures and metrics for strategic business areas
05/26/2006	The Archivist's staff submits a draft Strategic Plan to OMB for comment
06/27/2006	The Archivist issues draft Strategic Plan for 2006–2016 for staff and public comment
08/08/2006	The Archivist finalizes a list of FY 2008 Strategic Budget initiatives for inclusion in the performance budget
08/15/2006	The Archivist submits an advance new Strategic Plan to OMB
09/11/2006	The Archivist submits FY 2008 Performance Budget Request to OMB
09/25/2006	NARA completes consultations with Congressional staffs on the draft Strategic Plan
09/29/2006	The Archivist submits a final Strategic Plan to OMB and Congress

APPENDIX C: EVALUATIONS AND REPORTS USED TO DRAFT THE STRATEGIC PLAN

The reports are arranged alphabetically by author and thereunder chronologically by the date of the report.

1. General Accounting Office, GAO-05-802, *Acquisition of the ERA is Progressing*, July 12, 2005.
2. Information Security Oversight Office, *National Archives and Records Administration Special On-site Review of the Mandatory Declassification Review Program*, March 29, 2006.
3. Interagency Committee on Government Information, *Recommendations for the Effective Management of Government Information on the Internet and Other Electronic Records*, December 16, 2004.
4. National Archives and Records Administration, *Nontextual Preservation at the National Archives and Records Administration Review of Current Activities and Future Needs*, September 2002.
5. National Archives and Records Administration, *Ready Access to Essential Evidence: The Strategic Plan of the National Archives and Records Administration, 1997–2008, (Revised Final Plan)*, 2003.
6. National Archives and Records Administration, *FY 2003 Annual Performance Plan (Revised Final Plan)*, March 21, 2003.
7. National Archives and Records Administration, *Strategic Directions for Federal Records Management*, July 2003.
8. National Archives and Records Administration, *Customer Service Standards of the National Archives and Records Administration (Revised)*, September 2003.
9. National Archives and Records Administration, *FY 2004 Annual Performance Plan (Revised Final Plan)*, February 20, 2004.
10. National Archives and Records Administration's Electronic Records Archives Program, *Presentation to the National Digital Strategy Advisory Board, Library of Congress*, June 2004.
11. National Archives and Records Administration, *FY 2004 Performance and Accountability Report*, November 15, 2004.
12. National Archives and Records Administration, *Office of Regional Records Services Archival Program, Fiscal Year 2004*, December 2004.
13. National Archives and Records Administration's presentation at Electronic Records Forum, *Embedding Electronic Records Management Into the Fabric of Your Agency*, December 16, 2004.
14. National Archives and Records Administration, *FY 2005 Annual Performance Plan (Revised Final Plan)*, January 11, 2005.
15. National Archives and Records Administration, *Continuity of Operations Plan, v1.0*, August 2005.
16. National Archives and Records Administration, *FY 2005 Performance and Accountability Report*, November 15, 2005.
17. National Archives and Records Administration's (NARA) Implementation of the E-Government Act of 2002 – Report for FY 2005, November 23, 2005.
18. National Archives and Records Administration, *Office of Regional Records Services Archival Program, Fiscal Year 2005*, December 2005.
19. National Archives and Records Administration, *Preservation Survey of Textual Records*, December 2005.
20. National Archives and Records Administration, Office of Management and Budget, and Architecture and Infrastructure Committee, Federal Chief Information Officers Council, *Federal Enterprise Architecture Records Management Profile*, December 15, 2005.
21. National Archives and Records Administration, *FY 2007 Annual Performance Plan (Submitted to Congress)*, February 6, 2006.
22. NARA E-Records Management Initiative, *Plan to Identify, Schedule and Appraise, and Acquire E-Records*, presented at BRIDG meeting on February 16, 2006.
23. National Archives and Records Administration, *FY 2006 Annual Performance Plan (Revised Final Plan)*, February 24, 2006.
24. Office of the Inspector General, *NARANET Penetration Testing Report*, OIG Report 03-01, November 19, 2002.
25. Office of the Inspector General, *Review of NARA's Computer Network Infrastructure Upgrade*, OIG Report 03-10, August 14, 2003.

26. Office of the Inspector General, *Assessment of NARA's Efforts to Comply with New Facility Standards*, OIG Report 04-13, May 14, 2004.
27. Office of the Inspector General, *Clifton-Gunderson LLP (CG) Audit of the National Archives and Records Administration, FY 2004 Financial Statements*, OIG Report 05-02, January 2005.
28. Office of the Inspector General, *Review of NARA's Acquisition of Storage Management*, OIG Report 05-01, March 9, 2005.
29. Office of the Inspector General, *Audit of NARA's Intrusion Detection System*, OIG Report 05-09, April 1, 2005.
30. Office of the Inspector General, *Evaluation of NARA's Preservation Program*, OIG Report 05-13, June 22, 2005.
31. Office of the Inspector General, *Review of NHPRC Grants*, OIG Audit Memorandum 05-20, July 29, 2005.
32. Office of the Inspector General, *Clifton-Gunderson LLP (CG) Audit of the National Archives and Records Administration FY 2005 Financial Statements*, OIG Report 06-06, December 9, 2005.
33. Office of Management and Budget, *Independent Verification and Validation of E-Government Initiatives*, August 24, 2005.
34. Policy and Planning Staff, *Workload Analysis Study of Paper Textual Records*, July 2006.
35. Thibodeau, Kenneth. "Building the Archives of the Future" Presented to Planet Storage Summit, 2005.